

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-448-02-02</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>MAY 1, 2002</i>	
1. FROM (Agency or establishment)  U. S. Department of Labor Employment Standards Administration		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION  Office of Workers' Compensation Programs			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER  Glenn Whittington Dottie Chester	5. TELEPHONE  202-693-1033 202-693-0296	DATE	ARCHIVIST OF THE UNITED STATES  <b>WITHDRAWN</b>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>31</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies. <u>is not required;</u> is attached; or has been requested.			
DATE <i>4/25/02</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Maureen Hill</i>	TITLE <i>Departmental Records Officer</i>	
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

The Office of Workers' Compensation Programs administers three major disability compensation programs which mitigate the financial burden on workers and their dependents or survivors from work-related injury, disease, or death, through the provision of wage replacement and cash benefits, medical treatment, vocational rehabilitation, and other benefits. These programs are the Federal Employees' Compensation Act (FECA) program which provides services to civilian employees of the Federal Government and certain other designated groups; the Longshore and Harbor Workers' Compensation Act (LHWCA) program which provides similar protection to private sector workers engaged in certain maritime and related employment; and the Black Lung Benefits program which provides protection to the nation's coal miners totally disabled by pneumoconiosis or to their survivors.

WITHDRAWN

REQUEST FOR RECORDS DISPOSITION AUTHORITY

OFFICE OF WORKERS' COMPENSATION PROGRAMS

The Office of Workers' Compensation Programs administers three major disability compensation programs which mitigate the financial burden on workers and their dependents or survivors from work-related injury, disease, or death, through the provision of wage replacement and cash benefits, medical treatment, vocational rehabilitation, and other benefits. These programs are the Federal Employees' Compensation Act (FECA) program which provides services to civilian employees of the Federal Government and certain other designated groups; the Longshore and Harbor Workers' Compensation Act (LHWCA) program which provides similar protection to private sector workers engaged in certain maritime and related employment; and the Black Lung Benefits program which provides protection to the nation's coal miners totally disabled by pneumoconiosis or to their survivors.

For convenience of reference, the items below are grouped under organization headings; but the disposition provisions remain effective regardless of organizational change, so long as the nature of the records remain as described.

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OFFICE OF WORKERS' COMPENSATION PROGRAMS  
NATIONAL OFFICE

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1. Administrative Subject File

Correspondence, memoranda, reports, publications, and other records relating to all routine administrative matters, such as office services, personnel, financial matters, travel, and procurement.

Disposition: Temporary. Break file annually. Hold in office. Destroy when 3 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No : NC1-271-80-1, Item No. 2.

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2. Program Subject File

Correspondence, memoranda, reports, studies, regulations, opinions, and other records relating to the compensation programs administered by the OWCP and by state and foreign governments. Included are records relating to policy, insurance, medical care, vocational rehabilitation, the compensation fund, claims, hearings, and court cases, regulations, opinions and technical assistance. Arranged by subject-numeric code.

Disposition: Temporary. Break file annually. Hold in office. Destroy when 5 fiscal years old or when no longer needed for reference, whichever is sooner.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.; NC1-271-80-1, Item No. 3 and N9-271-00-01, Item No. 3.

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### 3. Claimants' Correspondence

Correspondence with members of Congress relating to inquiries made on behalf of individual claimants.

Disposition: Temporary. Break file annually. Hold in office. Destroy when 3 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: NC1-271-80-1, Item No. 5 and N9-271-00-01, Item No. 4.

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### 4. Publications

Record copy of OWCP publications and studies relating to patterns of injury and occupational disease, actuarial information, extent of coverage of compensation, and other program matters. Arranged alphabetically by subject.

Current volume: 10 cubic feet, 1916 – present:

Annual accumulation: 2 cubic feet.

Disposition: PERMANENT. Break file annually. Hold in office. Offer to NARS when 10 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: NC1-271-80-1, Item No. 6 and N9-271-00-01, Item No. 5.

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### 5. FECA and LHWCA Caseload and Mail Reports

Reports from individual District Offices (CA-80, LS-2 and LS-3) and the summary report (CA-204 and LS-6).

Disposition: Temporary. Break file annually. Hold in office. Destroy when 10 fiscal years old.

Electronic copy produced using e-mail and /or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: NC1-271-80-1, Item No. 7 and N9-271-00-01, Item No. 6.

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### 6. FEC Adjudication Control Report, Form CA-85

Monthly reports received from the District Offices and Branch of Special Claims, disclosing the number of cases in process of adjudication.

Disposition: Temporary. Break file annually. Hold in office. Destroy when 2 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: NC1-271-80-1, Item No. 9.

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7. FEC and LHWCA Quarterly Rehabilitation Reports

Reports showing the number of rehabilitation cases received during the period, the number referred for rehabilitation, etc.

Disposition: Temporary. Break file annually. Hold in office. Destroy when 5 fiscal years old.

Electronic copy produced using e-mail and/or word processing. Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: NC1-271-80-1, Item No. 10 and N9-271-00-01, Item No. 7.

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8. Hearing Loss Report

Monthly summary of hearing loss cases received and adjudicated.

Disposition: Temporary. Cut off file on a yearly basis. Hold in office. Destroy when 10 fiscal years old.

Electronic copy produced using e-mail and/or word processing. Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: NC1-271-80-1, Item No. 11.

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9. OWCP Directives

Bulletins detail policy and procedure changes within OWCP. Circulars call attention to standing instructions or standards and announce items of informational value. Transmittals introduce changes into the OWCP Procedure Manual. Filing scheme is numerical.

a. Bulletins

Disposition: Permanent. Break file when 15 fiscal years old, and if volume warrants, transfer to FRC. Offer to NARA when 25 years old.

b. Circulars

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy 5 years after superseded or obsolete.

c. Transmittals

Disposition: Temporary. Break file at end of fiscal year. Destroy 5 years after content are entered into OWCP Procedure Manual.

WITHDRAWN

Electronic copy produced using e-mail and/or work processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No. N1-271-92-1, Item No. 1a and b, and N9-271-00-01, Item No. 1.

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10. Legislative and Legal Subject Files

- a. Correspondence, memoranda, reports, copies of laws, and other records relating to the development of legislation, Congressional relations, and claims litigation. Arranged by subject-numeric code.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when 3 fiscal years old or when no longer needed for reference. These records may not be transferred to a records center.

- b. Legal opinions and determinations rendered by DOL's Solicitor and other judiciary concerns regarding OWCP laws, rules and/or regulations.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when 7 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: N1-271-92-1, Item No. 2a and b, and N9-271-00-01, Item No. 2.

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11. Work Measurement Reports in Director's Office.

Various documents related to reports on productivity, work measurement and related items such as performance standards for various OWCP offices, National Office and field.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when 10 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: N1-271-92-1. Item No. 3 and N9-271-00-01, Item No. 8.

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12. Published Studies Required by Law or Requested by Congress on the Executive Branch.

Studies and reports which analyze the operations, administrative activities, and status of ESA programs and the impact of the legislatively mandated changes to existing programs or the creation of programs.

- a. 1993 and prior. Black Lung and Longshore annual reports.

Disposition: PERMANENT. Transfer to NARA upon approval of schedule. One cubic foot on hand. Arranged by date.

- b. 1994 to present. OWCP reports. Formerly Item a. above.

Disposition: PERMANENT. Transfer to NARA when 5 fiscal years old. One cubic foot on hand.  
Arranged by date. Annual accumulation less than one cubic foot.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: N1-271-92-1, Item No. 4a and b, and N9-271-00-01, Item No. 9.

DIVISION OF FEDERAL EMPLOYEES' COMPENSATION  
NATIONAL OFFICE

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13. Master Index

An alphabetical file containing an index card for every injury reported under the Federal Employees' Compensation Act (FECA) and its extension. These cards contain identifying information together with the case number of the claimant and are used in identifying mail or for obtaining the claimant's file number.

Disposition: These records are no longer created as of 1976. Existing records stored in microfilm at the National Office will be destroyed when this schedule is approved.

Electronic copies produced using electronic mail and word processing applications: Delete when record-keeping copy has been produced and when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-271-80-1 item 12a, b & c, and N9-271-00-01, Item No. 11.

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**NATIONAL AND FIELD OFFICES (FECA)**

14. Compensation Case Files Reporting Lost Time and/or Death

Case files containing reports and other records, including claims, payment records, and any results of administrative determinations or court ruling, relating to injuries of civil employees of the U.S. Government sustained while in the performance of their duties and resulting in lost time and/or death.

A. Case files not scanned into OASIS

Disposition: TEMPORARY: Cut off when case becomes inactive. Transfer to offsite storage 2 fiscal years after cutoff. Destroy 15 fiscal years after cutoff.

B. Case Files scanned into OASIS

Disposition: TEMPORARY: Destroy after scanning and verification, as per "OWCP Automated System for Imaging Services (OASIS)", item No. 30A of this schedule.

Electronic copies produced using electronic mail and word processing applications: Delete when record-keeping copy has been produced and when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-271-00-1, item 1a, b, and c, and N9-271-00-01, Item No. 12.

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15. Compensation Case Files Reporting No lost Time

Reports and other records relating to injuries to civil employees of the U.S. Government sustained while in performance of their duties but in which no time was lost.

a. No lost Time Cases Involving Medical Expenses

(1)Case File

WITHDRAWN

Disposition: Temporary. When case is closed, place file in an inactive status for two fiscal years. After two fiscal years, remove summary sheet (CA-800) from case file and place in a separate series. Once the summary sheet is removed, destroy the inactive file.

(2)Summary Sheet (CA-800)

Disposition: If summary sheet is microfilmed:

- (a) Temporary. Destroy the hard copy when the film has been verified.
- (b) Temporary. Retain the microfilm in OWCP. Destroy the microfilm 15 fiscal years after the case is closed.

If summary sheet is not microfilmed:

- (c) Temporary. Retain the summary sheet in OWCP for 3 fiscal years, then transfer to FRC. Destroy 15 fiscal years after case is closed.

b. No Lost Time Cases Without Medical Expenses

Disposition: Temporary. If no medical bills are received within 90 days after receipt of the report of injury, return the report of injury to employing agency.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-271-80-1 item 15a.1, a.2, and b, and N9-271-00-01, Item No. 13.

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16. Unpayable Bills

Disposition: Temporary. If bill is unpayable, remove bill from case file and return to sender.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-271-80-1 item 17 and N9-271-00-01, Item No. 14.

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17. X-Ray File

Disposition: Temporary. Hold in office. Return to sender after the x-ray serves its purpose with OWCP.

Supersedes NC1-271-80-1 item 18.

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18. Summaries for Payments on Cases on the Death Periodic Roll (CA-105) and on the Disability Periodic Roll (CA-106)

Disposition: Temporary. These records were no longer created as of December 1981 when the Automated Compensation Payment System went into effect nationwide. Upon approval of this schedule, all existing records will be destroyed.

WITHDRAWN

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-271-80-1 item 19 and N9-271-00-01, Item No. 15.

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19. Claim for Continuance of Compensation on Account of Death (CA-12)

Surviving spouses who are beneficiaries under FECA and its extensions are required to file annual claims for continuance of compensation, swearing that they have not remarried. These statements may be used as evidence in prosecuting or obtaining recovery from beneficiaries who fail to advise OWCP of remarriage and accept compensation to which they are not entitled.

Disposition: Temporary. These records are no longer created as of 1993 because this information is now contained in the individual case files. Upon approval of this schedule, all existing records will be destroyed.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-271-80-1 item 20 and N9-271-00-01, Item No. 16.

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20. Financial Records

a. CA-102 Benefit Statements

Disposition: Temporary. Original issued to claimant when compensation benefits paid. Electronic copy retained at National Office. Destroy when 6 fiscal years, 3 months old.

b. CP050 Voucher and Schedule of Payments Reports (Compensation Payments)

Disposition: Temporary. Hard copy and electronic media reports listing all payments made for a Periodic, Death or Daily roll payment cycle. Hard copy report destroyed when no longer needed. Electronic copies retained at District Offices. Destroy when 6 fiscal years, 3 months old.

c. BP050 Voucher and Schedule of Payments Reports (Medical Bill Payments)

Disposition: Temporary. Hard copy and electronic media reports listing all payments made for a Weekly Bill Payment cycle. Hard copy report destroyed when no longer needed. Electronic copies retained at District Offices. Destroy when 6 fiscal years, 3 months old.

d. DFEC614 Report of Accounts and Loans Receivable Due from Public

Disposition: Temporary. Hard copy and electronic media report listing all debt transactions. Hard copy report destroyed when no longer needed. Electronic copies retained at National Office. Destroy when 6 fiscal years, 3 months old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

WITHDRAWN

Supersedes NC1-271-80-1 item 21 and N9-271-00-01, Item No. 17.

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21. FECA Bulletins, Circulars and Transmittals

Bulletins detail policy and procedure changes, describe special reports and announce pilot programs within DFEC. Circulars call attention to standing instructions or standards and announce items of informational value, such as changes in FECA forms, actions taken by the Employees Compensation Appeals Board, and internal matters like statistical reporting and travel. Transmittals introduce changes into the FECA Procedure Manual. Filing scheme is numerical.

a. Bulletins

Disposition: PERMANENT. Break numerical sequence at end of fiscal year. Retire to FRC when 5 fiscal years old. Transfer to NARA when 20 fiscal years old.

b. Circulars

Disposition: Temporary. Break numerical sequence at end of fiscal year. Hold in office. Destroy 5 fiscal years after superseded or obsolete.

c. Transmittals

Disposition: Temporary. Break numerical sequence at end of fiscal year. Destroy 5 fiscal years after contents are entered into the Procedure Manual.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes N1-271-92-1 item 5a and b.

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22. Training Records

One copy of each manual, syllabus, textbook, trainer's guide, and other training aid developed by the office.

Disposition: Temporary. Break file at end of Calendar Year. Transfer to FRC when 5 calendar years old. Destroy when 10 calendar years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes N1-271-92-1 item 6 and N9-271-00-01, Item No. 20.

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23. Bills Paid for Medical and Health Services

PRIVACY RESTRICTION: YES

Providers of medical and health services and claimants who request reimbursement for such services submit bills to FECA field offices and request payment.

Disposition: Temporary. When a bill is paid, the bill and batch payment System form (CA-D-9) are removed from the case file and placed in a separate series.

If bill and associated batch payment form are microfilmed or imaged:

- a) Destroy hard copy when film or image has been verified.
- b) Retain the microfilm in the district office. Destroy microfilm 6 fiscal years, 3 months after bill is paid.
- c) Retain the electronic image at a central file server. Destroy electronic image 6 fiscal years, 3 months after bill is paid.

If bill and associated batch payment form are not microfilmed or imaged:

- d) Retain bill and CA-D-9 for two fiscal years in office, then transfer to FRC. Destroy 6 fiscal years, 3 months after bill is paid.

PRIVACY ACT SYSTEMS OF RECORD  
DOL/GOVERNMENT-WIDE 1

Supersedes N1-271-92-1 item 8.

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24. Listing of payments of FECA Beneficiaries

PRIVACY RESTRICTIONS: YES  
DOL/GOVERNMENT-1

Disposition:

- A. Inputs: Temporary. Case management actions taken in compensation case files involving medical expenses and lost time and/or death. Input records are placed in the individual case files. See "Compensation Case Files Reporting Lost Time and/or Death", item No. 14, and "Compensation Case Files Reporting No Lost Time", item No. 15a of this schedule.
- B. Master File: Temporary. Data maintained in the National Case Management File, the Automated Compensation Payment System, and the Bill Payment System. This data can be accessed to provide users with payment and case histories showing past benefits paid and recent case actions taken on behalf of FECA recipients. Backed up nightly to magnetic tape. The Case Management File is continuously updated, and the Automated Compensation Payment System and Bill Payment System records are updated as additional payments are made. Delete electronic information when no longer needed.
  - The Automated Compensation Payment System contains information pertaining to payments for wage loss, permanent partial impairment, death benefits, and attendant allowance for all cases. Payment which were made more than 18 months in the past are archived every six months, on 9-track 6250 bpi magnetic tape, and this information is maintained at the ESA mainframe vendor site (tape copy only). Payment history for those cases which have been destroyed will be deleted from the data base, consistent with the terms of the vendor contract.
  - The Bill Payment System contains information pertaining to payments made to medical providers, claimants, and vocational rehabilitation vendors for services rendered to injured FECA recipients. Payments that were made more than 18 months in the past are archived every six months, on 9-track 6250 bpi magnetic tape, and this information is maintained at the ESA mainframe vendor site. Upon approval of this schedule, copies of payment histories will be kept in electronic format for six years, three months after payment is authorized, then will be destroyed. Microfiche copies of prior payment histories will be kept for six fiscal years, three months after payment is authorized, then will be destroyed.

- C. Output: Temporary. Hard copy reports consist of computer printouts generated from data stored in the database, which summarizes costs for individual cases, under FECA during the chargeback year (July 1 through June 30). Destroy when six fiscal years, three months old.

Management reports generated by this system are provided upon request. These reports are retained by the requesting office (National Office or District Office). Destroy when no longer needed.

- D. Documentation: Temporary. FECA User's Manual, which consists of: ESA Sequent System Administrator's Guide, Case Management Users Manual, Priority Correspondence Users Manual, WP Forms Generation Users Manual, Bill Payment Users Manual, and Compensation Payment Users Manual (Parts A and B). Current system documentation will be provided with each scheduled retirement of data base information.

Electronic copy produced using e-mail and/or work processing: Delete when record-keeping copy has been produced or when non longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes N1-271-92 -1, item 7a and b, and N9-271-00-01, Item No. 10.

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#### 25. Table II Reports

A monthly list of injuries to Federal employees by department and by case number. Record keeping copy is stored at the National Office.

Disposition: Temporary. Destroy when one fiscal year old.

Supersedes NC1-448-76-1, Item No. 12.

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#### 26. Listing of Excluded Providers

Report which lists all physicians who have been excluded from receiving payment for services billed under FECA, by virtue of circumstances such as removal of license, suspension under another government entitlement program such as Medicare, submission of bills for services rendered to Federal employees which are higher than same services rendered to non-Federal employees, etc.

PRIVACY RESTRICTION: YES  
DOL/ESA-29

Disposition:

- A. Inputs: Temporary. Electronic data tables received from Department of Health and Human Services (HHS) Office of the Inspector General (OIG) are posted monthly onto the National Office server. Specific records are deleted from the server when HHD advises that the period of exclusion has expired due to reinstatement.

In-house exclusions are posted as needed onto the National Office server. Disposition of documents supporting these exclusions is addressed under (D) of this item.

- B. Master File: Temporary. Data maintained in a separate file on the National Office server. It contains the names, addresses, tax identification numbers and effective dates of all physicians who have been excluded from receiving payment for services billed under FECA. The information maintained in the database for this system is backed up weekly to magnetic tape. Names and tax identification numbers of excluded providers are not removed from this file, except when the tax identification number for an

excluded provider is assigned to another provider because of the death of the excluded provider. In that case, the name, address and tax identification number of the excluded provider are deleted from the automated system.

- C. Output: Temporary. Hard copy of report lists the names, addresses, and tax identification numbers of all physicians who have been excluded at some point from receiving payment for services billed under FECA. If appropriate, also lists the beginning and ending dates of exclusion for payment. Destroy when new report is generated.
- D. Documentation: Temporary. A correspondence file pertaining to in-house exclusions include letters to and from members of Congress, DFEC District Offices, attorneys, medical providers, and other governmental medical entitlement programs. Subject matter of such correspondence may include notification of violations, notification to the provider, and copies of appeals made to individual cases. File is retained in the office for three fiscal years after the debarment action is final and then transferred to the Federal Records Center, where it is destroyed 30 fiscal years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained for two fiscal years after the period of exclusion expires (or the individual is otherwise reinstated), then transferred to the Federal Records Center, and destroyed 30 fiscal years after the debarment action is final.

Electronic copy produced using e-mail and/or word processing: Delete when record-keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes N1-271-92-1, item 28a, b, and c.

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#### 27. Periodic Roll Management System (PRMS)

The PRMS is an automated system used to track district office review of long-term disability cases. It is used in the daily processing of long-term disability cases, tracking of case outcomes and preparation of management reports.

PRIVACY RESTRICTIONS: Yes

Privacy Act System of Record DOL/GOVT 1

Disposition:

- A. Inputs: Temporary. Reports on injury, claims for compensation, medical reports and various other documents related to individual claims for compensation. Input records are placed in the individual case files. For records disposition, see "Compensation Case File Reporting Lost Time and/or Death", item No. 14 of this schedule.
- B. Master File: Temporary. Information resides on regional file servers and is backed up on a daily, weekly and monthly basis.
- C. Output: Temporary. Various management reports are system-generated on a monthly, quarterly and ad hoc basis. Destroy reports when no longer needed for reference.
- D. Documentation: Temporary. Manuals, training materials, and other materials describing the technical operations of PRMS. Destroy when PRMS is replaced.

Electronic copy produced using e-mail and/or word processing: Delete when record-keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

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28. Nurse/Rehabilitation Tracking System (NRTS)

The NRTS is an automated system used to support the processing of both nurse intervention and vocational rehabilitation cases. It is a tool for rapid review of case, counselor and nurse progress. Authorized staff can add, update, view, browse and report on selected cases as requested.

PRIVACY RESTRICTIONS: Yes

Privacy Act System of Records DOL/ESA-44

Disposition:

- A. Input Records: Temporary. Nurse and Counselor status reports related to individual claims for compensation. These records are placed in the individual case records. For records disposition see "Compensation Case Files Reporting Lost Time and/or Death", item No. 14 of this schedule.

Also input Nurse and Counselor licensing information given verbally over the telephone.

- B. Master File: Temporary. Information is maintained on regional file servers and is backed up on a daily, weekly, and monthly basis. It is retained on the Sungard mainframe and kept in 9-track tape format for 10 calendar years. After 10 calendar years, data is deleted from the database consistent with the terms of the vendor contracts.
- C. Output: Temporary. Various management reports are system-generated on a monthly and quarterly basis. Destroy reports when no longer needed for reference.
- D. Documentation: Temporary. Manuals, training materials, and other materials describing the technical operations of NRTS. Destroy when NRTS is replaced.

Electronic copy produced using e-mail and/or word processing: Delete when record-keeping copy has been produced or when no longer needed for updating, reference or distribution, or electronic dissemination, whichever is later.

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29. Physicians Directory System (PDS)

Privacy Act System of Records DOL/GOVT-1

The PDS is a set of proprietary software programs designed to support the scheduling of independent medical examinations. It includes information on physician specialties and addresses the office's usage of physicians in specific case files, and a log of scheduled appointments.

Disposition:

- A. Input: Temporary. Physician information obtained from the Marquis Directory (proprietary software program) with updates as necessary from other vendor programs. Software is maintained in the National Office until vendor contract expires, then returned to the vendor.

As needed, District Offices may input information from the Curriculum Vitae of local physicians not already in vendor directories. CV's are maintained by the District PDS Manager so long as the

physician is included in the database, then destroyed when the physician can no longer perform examinations.

- B. Master File: Temporary. Information is maintained on regional file servers and is backed up on a daily, weekly and monthly basis. Destroy when PDS is replaced.
- C. Output: Temporary. Various management logs and reports are system-generated on an ad hoc basis. Destroy logs and reports when no longer needed for reference.
- D. Documentation: Temporary. Manuals, training materials, and other materials describing the technical operations of PDS. Destroy when PDS is replaced.

Electronic copy produced using e-mail and/or word processing: Delete when record-keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

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30. OWCP Automated System for Imaging Services (OASIS)

Disposition:

- A. Inputs: Reports, claims, payment records, and any results of administrative determinations or court rulings, relating to injuries of civil employees of the U.S. Government and others filing claims under the FECA sustained while in the performance of their duties and resulting in lost time and/or death.

TEMPORARY: For records disposition, see "Compensation Case Files Reporting Lost Time and/or Death", item No. 14 of this schedule. Destroy after scanning into OASIS and verification.

- B. Master File:

TEMPORARY: Delete 15 fiscal years after the case becomes inactive.

- C. Outputs. Copies of records in OASIS used for reference by staff.

TEMPORARY: Destroy when no longer needed for reference.

- D. Documentation. Manuals, training materials, and other materials describing the technical operations of the optical imaging system.

TEMPORARY: Destroy when updated, superseded or when no longer needed.

Supersedes N1-271-00-1, item 2a, b, c, and d.

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DIVISION OF COAL MINE  
WORKERS' COMPENSATION (DCMWC)

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31. DCMWC Case Files.

Files contain claims and related materials, including all correspondence resulting from claims for compensation and medical benefits under the Federal Coal Mine Health and Safety Act of 1969, as amended.

Disposition: Temporary

a. Section (a) case files (approved claims)

Retain in appropriate office during lifetime of claimant as long as there are qualified dependents. Then close file after all actions are completed and retire to FRC. Destroy 10 fiscal years after transfer.

b. Section (b) case files (denied claims)

Close file after denial becomes final and all actions are completed. Retire to FRC 2 fiscal years after closing. Destroy 30 fiscal years after transfer.

c. Electronic versions of documents entered into files, such as E-mail messages and word-processing versions of documents. Delete after record-keeping copy has been produced.

Note: Electronic information about each black lung claim is retained in the Claimant record of DCMWC's Automated Support Package (ASP). Disposition is permanent. DCMWC has reached a special agreement with NARA whereby the electronic files and documentation are withheld for 90 fiscal years from the date of each cutoff. Cut off every fiscal year. Transfer electronic records and documentation to NARA every 10 fiscal years in 10-year blocks. See item #40 of this schedule.

PRIVACY ACT RESTRICTIONS: YES

PRIVACY ACT SYSTEMS OF RECORD DOL/ESA-12.

Supersedes Job No: N1-271-92-1, Item No. 31a and b, and N9-271-00-01, Item No. 55.

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32. X-Ray Films.

Chest x-ray films and corresponding reports (interpretations) are submitted as evidence in black lung claims. The reports are filed in claimants' black lung claim files (see item No. 31 of this schedule for the retention schedule of black lung claim files). The actual files are kept in manila jackets and filed separately in order by the miner's Social Security Number.

Disposition:

a. For x-rays associated with approved claims, retain the x-ray films in the DCMWC office throughout the life of the beneficiary and as long as there are qualified dependents. The

claim then is closed and the file transferred to the FRC. Transfer the x-ray films to the FRC when the claim is closed. Destroy 10 fiscal years after transfer.

- b. For x-rays associated with denied claims, retain the films in the DCMWC office for 2 fiscal years after the claim is closed, then transfer to the FRC. Destroy 30 fiscal years after transfer.

Note: There are no electronic equivalents of either x-ray films or reports. Transfer only DOL-authorized x-ray films to the FRC. Borrowed x-ray films shall be kept in the DCMWC office until the claim is closed. If the medical provider then requests the x-ray film, return it. Otherwise, all borrowed films must be returned to the provider one fiscal year after final adjudication and the claim is closed.

PRIVACY ACT RESTRICTIONS: YES

PRIVACY ACT SYSTEM OF RECORD DOL/ESA-12.

Supersedes Job No: N1-271-92-1, Item No. 26a and b.

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33. Black Lung Bulletins, Transmittals and Circulars.

Issuances concerning policies, procedures, and program information.

Disposition:

- A. Textual Documents: Temporary. Retain in office. Destroy 3 fiscal years after superseded, but keep at least one (1) example of each document in office for reference.
- B. Electronic Version of Documents: Permanent. Retained in PERSONAL LIBRARIAN, DCMWC's electronic policy data base. The documents are kept in order by date of entry; usually about twelve (12) of these documents are added to the database each year; approximately 400 current Bulletins, Transmittals and Circulars are on file. See Item 42b for disposition.

Electronic copy produced when using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item No. 47 and N9-271-00-01, Item No. 56

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34. Responsible Operator Files.

- a. Alphabetic card file of mine operators. Cards on all known mine operators (coal companies), plus cards confirming insurance for all operators who have procured insurance. These file are used as a source for determining responsibility for payment of black lung claims.

Disposition:

- 1. Textual Cards: Temporary. There is no cut-off date. Retain in office. Transfer to FRC when 25 fiscal years old. Destroy 50 fiscal years after transfer.

2. Electronic Operator Records: Permanent. These records are maintained on the DCMWC's ASP. The records are maintained alphabetically by responsible operator name. Approximately 100 new records are added per year. Records of approximately 36,000 coal operators are on file. DCMWC has reached a special agreement with NARA whereby the electronic files and documentation are withheld for 90 fiscal years from the date of each cutoff. Cut off every fiscal year. Transfer electronic records and documentation to NARA every 10 fiscal years in 10-year blocks.

b. Legal identification files.

Legal documents relating to the identification and status of corporate identities plus records of determination of corporate responsibility for individual claims. Information is historically significant and is necessary to establish mine operators' responsibility for black lung claims, often many years after actual employment with a particular operator has occurred.

Note: Textual only. Temporary. There is no cut-off date. Retain in office. Transfer to FRC when 25 fiscal years old. Destroy 50 fiscal years after transfer.

Electronic copy produced when using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item No. 50.

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35. Self-Insurer Files.

These files are applications and other historical documentation pertaining to companies who request approval to become self-insurers. No differentiation is made in retention between approved and disapproved requests to self-insure since such records are useful in showing the relationship of predecessor to successor operators in the determination of the responsible mine operator. Information is historically necessary to establish mine operators' responsibility for black lung claims, often many years after actual employment with a particular operator has occurred.

Note: Textual only. Disposition: Temporary. There is no cut-off date. Transfer to FRC when 5 fiscal years old. Destroy 50 fiscal years after transfer.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item No. 51 and N9-271-00-01, Item No. 57.

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36. Records of Notice of Intent to File.

DCMWC maintains records of indications from prospective claimants that they intend to file a claim within 6 months. Records are coded on forms and processed through the ASP. These then appear on the claimant information file and are retained for one year; then they are deleted because there is positive information on the ASP that a claim was filed during that time, or that the prospective claimant failed to file as had been indicated.

Disposition: Temporary

- A. Textual Records: Retain in office. Destroy 1 fiscal year from date received.
- B. Electronic Version of Records: Entered temporarily onto ASP, DCMWC's automated system. Delete 1 fiscal year after entry, if no claim is filed.

PRIVACY ACT RESTRICTIONS: YES

PRIVACY ACT SYSTEMS OF RECORDS DOL/ESA-12.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item No. 53.

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37. Section 428 Claims.

DCMWC maintains records of allegations that the claimant was discriminated against in his or her employment as a coal miner because of a pending or prospective claim for Black Lung benefits.

Disposition: Temporary

Record-keeping copy (paper). Transfer to FRC 1 fiscal year after case is closed. Destroy 10 fiscal years after transfer.

Electronic copies created on electronic mail and word-processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

PRIVACY ACT RESTRICTIONS: YES

PRIVACY ACT SYSTEMS OF RECORDS DOL/ESA-12.

Supersedes Job No: NC1-271-80-1, Item No. 54 and N9-271-00-01, Item No. 58.

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38. General Correspondence.

Correspondence not related to individual claims, such as requests from the UMWA, coal companies, health groups and insurance companies are filed in the office of the DCMWC Director or District Director.

Disposition: Temporary

- a. Record-keeping copy (paper). Retain in office. Destroy when 3 fiscal years old.

Electronic copies created on electronic mail and word-processing system. Delete after record-keeping copy has been produced, or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item No. 55 and N9-271-00-01, Item No. 59.

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### 39. Payment Records.

Black Lung claims are paid by either the Black Lung Disability Trust Fund or the Responsible Mine Operator (RMO). The payment records retained by DCMWC will be for Trust Fund claims and contested RMO claims paid from the Trust fund on an interim basis, although claim files will contain Notifications of First Payments from RMOs.

Disposition: Temporary

#### a. Medical Determination Bills.

When a miner files a black lung claim, one of our first actions is to schedule the miner for a battery of tests to determine if the miner has black lung disease and is totally disabled by it. Medical providers submit the bills for these tests, along with the test results, to the district offices. Approved bills are forwarded for payment to DCMWC's contractor-run medical bill payment operation, which is supervised by its National Office.

1. **Hard Copy Bills:** Transfer determination bills in batches from the payment operation to FRC, after they have been paid. Destroy bill batches 15 fiscal years after transfer.
2. **Electronic Version:** Starting February 1, 1999, copies of the bills are scanned onto optical media for retention as per Section 40.b.3 of this section. Bills processed before February 1, 1999 were copied onto microfilm rolls which were retained as long as needed, then destroyed.

#### b. Batched Medical Treatment Bills.

A miner awarded black lung benefits by the Department of Labor is entitled to medical coverage for treatment of his black lung disease and directly related conditions. Bills for treatment of miners with approved Trust Fund claims, and those with RMO claims being paid by the Fund on an interim basis, are submitted to DCMWC for reimbursement to the miner or medical provider. Bills are batched (complete with batch control sheet), copied electronically and the batch is placed in a folder.

1. **Textual bills:** Disposition: Temporary. When all bills in a batch have been finally processed (i.e., paid in full, paid partially, or denied), transfer the batch to FRC. Destroy bill batches 15 fiscal years after transfer.
2. **Electronic records:** Electronic copies of these bills have been kept on optical media starting February 1, 1999. Prior to that date, bill copies were kept on microfilm and destroyed when no longer needed. Disposition: See Item 40.b.3 of this schedule.

#### c. Copies of Treatment Bills:

Copies of treatment bills have been kept on optical media starting February 1, 1999. Bills processed prior to that date were maintained on rolls of microfilm in the National Office and destroyed when no longer needed.

#### d. Benefit Payment Input Forms.

Awarded claimants are paid monthly benefits on the criteria established by the Federal

Coal Mine Health and Safety Act of 1969, as amended.

1. Textual Material: Disposition: Temporary. Retain input forms (i.e., CM-1061, CM-1161, and CM-1261), associated copies of returned or canceled checks, requests for check tracers, and associated information for two (2) fiscal years after data entry. Then, transfer to FRC. Destroy 30 fiscal years after transfer.

Sort and box the CM-1061's, CM-1161's, or CM-1261's and associated materials by date of input, from the earliest to the most recent, with the boxes numbered accordingly.

2. Electronic record: See Item 40.b.2 of this schedule for disposition.

PRIVACY ACT RESTRICTIONS: YES.

PRIVACY ACT SYSTEMS OF RECORD DOL/ESA-30.

Supersedes Job No: N1-271-92-1, Item No. 27.

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40. Magnetic Media Information.

The Black Lung Automated Support Package (ASP) provides on-line access to data concerning Black Lung claimant applications, benefit entitlement status, coal mine operators and their compensation insurance carriers, medical service providers, medical determination and treatment bill processing, benefit payments, and financial accounting. In the spring of 2001, the ASP was converted from a mainframe sequential access method (VSAM) file format to an Informix client-server relational data format.

FILE SCHEME: Most records are kept in order by the miner's social security number.

VOLUME ON HAND: All ASP data is backed up onto one DLT cartridge at 44 gigabytes.

ANNUAL GROWTH: Approximately 8,000 new black lung claims/year;  
Approximately 500,000 medical bills/year.

Inclusive Dates: 1974 through the present. NOTE: The Beneficiary Master File for the years 1982-1994 was retired to NARA on February 21, 1995. The Claimant Master File for the years 1974-1994 was also retired to NARA on that date. Copies of those records remain in the current client-server system.

Restrictions: Privacy Act considerations.

Privacy Act issuances: Privacy Act Systems of Records DOL/ESA-30

a. Input Records:

1. Claim file documents and forms on individual claims, including CM-1152\_ (Claim Data Entry Form), CM-1084 (Data Collection Form for Diary Action, Claim Data and Changes), and CM-1085 (Folder Tracking Slip). Disposition: Temporary. In approved claims, retain in appropriate office during lifetime of claimant as long as there are qualified dependents. Close file after all actions are completed and retire to FRC. Destroy 10 fiscal years after transfer. In denied claims, close file after denial becomes final and all actions are completed. Retire to FRC 2 fiscal years after closing. Destroy 30 fiscal years after transfer.
2. Payments input documents, including the CM-1061, CM-1161 and CM 1261 (Benefit Payments Data Entry Form), medical bills, etc. Disposition: Temporary. Retain for 2 fiscal years after data entry. Then transfer to FRC. Destroy 30 fiscal years after transfer.

- b. Master Records: The ASP master records are made up of three subsystems. In April 2001, DCMWC converted from a mainframe to a client server system. The former Claimant Information Processing

System (CIPS) and Disability Benefits Payment System (DBPS) were absorbed into the current CAPS (Claimant and Payment Subsystem). The Black Lung Accounting Subsystem (BLAS) and the Medical Bill Processing Subsystem (MBPS) remained under the original titles in the client-server system.

DISPOSITION: These files are permanent. DCMWC has reached a special agreement with NARA whereby the files shall be withheld for 90 fiscal years from the date of each cutoff. Cut off every year. Transfer files and documentation to NARA every 10 fiscal years.

The subsystems are:

1. The Black Lung Accounting System (BLAS): contains information about overpayments and underpayments, and accounts receivable.

DISPOSITION: Temporary. Destroy the data when no longer needed for current business. Destroy the documentation when it is canceled, superseded or no longer needed for further business.

2. The Claimant and Payment Subsystem (CAPS): contains voluminous information about individual black lung claim status, location and compensation payments

DISPOSITION: Permanent. Cutoff every 10 fiscal years and transfer copy to NARA.  
FILE SCHEME: In order by miner's social security number.  
ANNUAL GROWTH RATE: Approximately 8000 records per year.  
VOLUME ON HAND: Included in the backup on one DLT cartridge.

3. The Medical Bill Processing System (MBPS): contains the data regarding black lung medical bills, both diagnostic and treatment.

DISPOSITION: Permanent. Cut off every 10 fiscal years and transfer copy to NARA.  
FILE SCHEME: In order by miner's social security number.  
ANNUAL GROWTH RATE: Approximately 500,000.  
VOLUME ON HAND: Included in backup on one DLT cartridge.

[ Supersedes Job No. NC1-271-91-1, items 23a, b, c, d, e, f, g, h, i, j, k, and l ]

- c. Output: The ASP system generates statistical reports for management on a regular basis. They can be viewed on screen and printed when hardcopies are required. These reports are generated from CAPS, BLAS, and the MBPS.

1. Daily Reports.

TEMPORARY: Destroy hardcopies when no longer needed. Supersedes Job No: N1-271-92-1, Item No. 24a.

2. Weekly Reports.

TEMPORARY: Destroy hardcopies when no longer needed, or when the next weeks' report is received. Supersedes Job No: N1-271-92-1, Item No. 24b.

3. Monthly Reports. The most widely used of these are the MIS Reports. They provide information on individual claims as well as statistical data on claims received, approved and denied, and several workloads intrinsic to the processing of black lung claims.

TEMPORARY: Retain hardcopies of all September and December reports for 5 fiscal years. Retain all others for one year. Destroy at end of retention period. Supersedes Job No: N1-271-91-1, Item No. 24c.

4. Quarterly Reports. TEMPORARY. Retain hardcopies in office for 5 fiscal years, and then

destroy. Supersedes Job No: N1-271-92-1, Item No. 24d.

5. Yearly Reports. TEMPORARY. Retain hardcopies in office for 5 fiscal years, and then destroy. Supersedes Job No: N1-271-92-1, Item No. 24e.
6. On-Request Reports. TEMPORARY. Retain hardcopies in office for one fiscal year, and then destroy. Supersedes Item Job No: N1-271-92-1, Item No. 24f.
7. Ad-Hoc Reports. TEMPORARY. Retain hardcopies in office for 5 fiscal years, and then destroy. Supersedes Job No: N1-271-92-1, Item No. 24g.

d. Documentation: These are manuals, training materials, indexes, etc., pertaining to the construction, operations and maintenance of the ASP. Retain in house until one year after system is superseded. Send to NARA 10 fiscal years after that. Destroy 90 fiscal years after sending to NARA.

e. E-Mail and word processing. Documents pertaining to magnetic media which are produced via e-mail or work processing should be deleted when the record-keeping copies have been produced or when they are no longer needed for updating, reference or distribution.

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41. Other Printouts Used by DCMWC.

These include MBPS-04 and MBPS35-40 (medical bill payment summaries), which are generated by ASP (see Item No. 40) , and the FAADS (Federal Assistance Award Data System) report benefit expenditures by county.

PRIVACY ACT RESTRICTIONS: Yes

Disposition: Temporary. Retain in office for 5 fiscal years, and then destroy.

PRIVACY ACT SYSTEMS OF RECORD DOL/ESA-30.

Supersedes Job No:N1-271-92-1, Item No. 25.

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42. Personal Librarian.

This is DCMWC's on-line policy database.

Disposition:

- a. Input Records: Electronic copies of Procedure Manual chapters, Transmittals, Bulletins, Circulars, and memorandums and E-Mail messages on policy, most of which were distributed Division-wide. See Item 33 for disposition of hard copies.
- b. Resident Master File: Disposition: Permanent. Cutoff every 10 fiscal years and transfer copy to NARA. This data eventually will be transferred to the Website - electronic only. Twelve (12) files - 410 REGS, ACNT\_REV, ARCHIVE, BSRPDOCS, DEBTCOLL, DOL\_REGS, MANUAL, MBOM96, PROCED\_2SYS\_USER, and TESTING. Only BSRPDOCS and PROCED\_2 are used with any regularity.
- c. Output: Hardcopies of list or document accessed on a screen. Destroy when no longer needed.
- d. Documentation: These are written instructions telling how to enter documents onto PERSONAL LIBRARIAN, and how to use the system to access lists of relevant

documents or the documents themselves when answering policy questions. Disposition: Permanent. Transfer to NARA with transfer of Item 42b above.

PRIVACY ACT RESTRICTIONS: Yes

PRIVACY ACT SYSTEMS OF RECORD DOL/ESA-30.

FILE SCHEME: The documents are stored in the order in which they are entered.

VOLUME ON HAND: 2,000-2,500 documents, most of them in two files. The are held on the 43-gigabyte DLT cartridge referred to in Item 40.

ANNUAL RATE: 100 new documents per year.

**[This is a completely new item]**

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DIVISION OF LONGSHORE AND HARBOR WORKERS'  
COMPENSATION

NATIONAL OFFICE

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43. DLHWC Directives

DLHWC directives concerning policies, instructions and guidance within DLHWC (e.g., Bulletins, Circulars, Transmittals, etc.). Comprises the contents of the LHWCA manual which is no longer being maintained.

File scheme: Numerical  
Current volume: 9 cubic feet  
Annual accumulation: 1/16 cubic feet

Disposition: Permanent. Break file at end of fiscal year. Hold in office. Transfer to NARA when file is 20 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later .

Supersedes Job No: N1-271-92-1, Item 9 and N9-271-00-01, item 18.

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44. Speeches, Addresses and Comments

Speeches, addresses and comments made by DLHWC officials to the public (e.g., addresses before the Industrial Claims Association, National Association of Stevedores, etc.).

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when 10 fiscal years old or when 3 fiscal years old if no longer needed.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: N1-271-92-1, Item 10 and N9-271-00-01, Item 19.

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45. Training Records

One copy of each manual, syllabus, textbook, and other training aids developed by the agency.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when 10 fiscal years old or when 3 fiscal years old if no longer needed.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: N1-271-92-1, Item 11 and N9-271-00-01, Item 20

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46. DLHWC Internal Planning Records

National Office and regional internal plans and reports relating to budget/planning process, and program plans.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when seven fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: N1-271-92-1, Item 12 and N9-271-00-01, Item 45.

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47. Monthly LS-3, LS-3s, and Workload and Performance Standards Reports

District office statistical reports on program plan performance.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when 3 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: N1-271-92-1, Item 13 and N9-271-00-01, Item 46.

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48. Quarterly Review and Analysis Reports

Quarterly summaries of district office performance regarding operational plans.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when 10 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: N1-271-92-1, Item 14 and N9-271-00-01, Item 47

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49. Federal Register Publication

Documents/correspondence related to DLHWC regulations (proposed and final) published in the Federal Register including meetings, hearings, transcripts, Congressional, constituency and/or public comments.

Disposition: Temporary. Break file at end of fiscal year. Retire to FRC five years after final notice has been published in the Federal Register. Destroy when 10 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: N1-271-92-1, Item 16 and N9-271-00-01, Item 49.

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50. Longshore Special Fund System

The automated Longshore Special System provides total support in the National Office for the benefit disbursement and accounting system, the insurance authorization sub-system, and the assessment sub-system which records and calculates each insurance carrier's and self-insured employer's assessment amount for the Special Fund. Benefit checks are issued every other week to those claimants being compensated by the Special Fund. Payment data is transmitted electronically directly to the Treasury's mainframe system via Direct:Connect software.

Disposition:

A. Input Records:

1. Case file documents and forms on individual claimants (see "Special Fund Case Files", item 56 on this schedule, for records disposition schedule).
2. Insurance Carrier applications (see "Insurance Carrier Authorization Files", item 53 on this schedule, for records disposition schedule).
3. Self-Insurance Applications (see "Self-Insurance Authorization Files", item 54 on this schedule, for records disposition).

B. Master File: Temporary.

The information maintained in the database for the Longshore Special Fund System resides on ESA's centralized database server (Sequent), and is backed up nightly to magnetic tape. The Master File is continuously updated. Delete electronic information when no longer needed.

C. Output:

1. Statement of Differences (biweekly)
2. Disbursement Totals (biweekly)
3. Disbursement Schedule & Error Reports (quarterly)
4. Carrier/Self-Insured LS-513 Reports (annually)
5. Accounts Receivable Report (annual)
6. Electronic Certification Report (as requested)

Disposition: Temporary. Hold in office. Break and destroy 6 fiscal years after end of reporting year, or when no longer needed for reference, whichever is greater.

D. Documentation: Includes manuals, training materials and system specifications describing the technical operation of the Longshore Special Fund System.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Destroy when Longshore Special Fund is replaced.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No. N1-271-92-1, Item 21 and N9-271-00-01, Item 52.

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51. Insurance Carrier Authorization Files

Original application for authorization under the LHWCA and its extensions, charters and bylaws, state authorization certificates, and approved policies and endorsements.

Disposition: Temporary. Hold in office. Break and destroy 5 fiscal years after last covered worker / beneficiary is deceased.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item 23 and N9-271-00-01, Item 22.

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52. Self-Insurer Authorization Files

Original application to be self-insured, documentation of decision granting authority to self-insure, authorization forms to sell securities, indemnity bonds, excess insurance policies, statements of outstanding claims, parent company guarantee, and security deposit advises.

Disposition: Temporary. Hold in office. Break and destroy 5 fiscal years after last covered worker / beneficiary is deceased.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item 24 and N9-271-00-01, Item 23.

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53. Records of Rehabilitation Payments Made in National Office

Printouts of Electronic Certification System schedules of payments to vocational rehabilitation vendors who are providing services to LHWCA claimants.

Disposition: Temporary. Hold in office. Break and destroy when 7 fiscal years old.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1; Item 26 and N9-271-00-01, Item 24

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54. Special Fund Case Files

Records of payment for compensation and related benefits, statements of employment status, formal orders for payment of compensation, medical and vocational rehabilitation reports, bills and vouchers.

Disposition: Temporary. Break file at end of fiscal year. Hold in office. Transfer to FRC 3 fiscal years after case is closed. Destroy 15 fiscal years after case is closed.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

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## NATIONAL AND DISTRICT OFFICES

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### 55. Claimant Representatives

Records in these files relate to claimants' representatives who are being considered for being disqualified to represent claimants, or who have been disqualified from representing claimants under the provisions of the LHWCA. Records include representative's name and address, the names and addresses of affected claimants/beneficiaries, copies of relevant documents obtained from claimant/beneficiary files relating to the issue of representation; documents received as a result of the investigation of and/or hearing on the alleged violation, including investigations conducted by DOL Office of Inspector General or other agency; and copies of documents notifying the representative and other interested persons of the disqualification.

Disposition: Temporary. Retain in office for three fiscal years after investigation is completed or, if the case results in debarment, three fiscal years after the period of exclusion expires. Transfer to the FRC. Destroy 10 fiscal years after investigation is completed or, if case results in debarment, 10 fiscal years after period of exclusion expires.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: N1-271-92-1, Item No. 29 and N9-271-00-01, Item No. 53.

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### 56. Physicians and Health Care Providers Excluded Under the Longshore and Harbor Workers' Compensation Act

Records in these files relate to providers who are being considered for being disqualified or who have been disqualified to provide services to claimants under the LHWCA. Records include copies of letters, lists, and documents from Federal and state agencies concerning the administrative debarment of providers from participation in programs providing benefits similar to those of the LHWCA and their reinstatement; materials concerning possible fraud or abuse; copies of medical bills for services, letters, memoranda, and other documents obtained during investigations, hearings, and other proceedings concerning exclusion for fraud or abuse, as well as reinstatement.

Disposition: Temporary. Retain in office for three fiscal years after the debarment action is final. Transfer to the FRC. Destroy 10 fiscal years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained two fiscal years after the period of exclusion expires (or the individual is otherwise reinstated). Transfer to the FRC. Destroy 10 fiscal years after the debarment action is final.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No.: N1-271-92-1, Item No. 30 and N9-271-00-01, Item No. 54.

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DISTRICT OFFICES

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57. Lost Time Cases under the Longshore and Harbor Workers' Compensation Act and its Extensions

a) Part (a) Case Files: Files containing claims, correspondence, reports and related records resulting from injuries sustained by employees while working for employers who are covered under the LHWCA and its extensions. Time was lost from work as a result of such injuries, and/or compensation was paid.

Disposition: Temporary. Retain in the office as an active file as long as the claimant or beneficiary continues to receive compensation benefits. Change status of claim to closed status upon termination of benefits, or end of appeals, whichever is latest. Transfer to FRC (2) two fiscal years after case is closed. Destroy 15 fiscal years after case is closed.

b) Part (b) Records, Transcripts, Exhibits from ALJ Formal hearings; Benefits Review Board, Court of Appeals or Supreme Court.

Disposition: Temporary. Transfer to FRC 2 fiscal years after final adjudication/approval of claim by either the ALJ, BRB, Court of Appeals or Supreme Court and it is deemed that no further judicial procedures will be required for the life of the claim. Destroy 15 fiscal years after a final determination of approval by any of the aforementioned bodies.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: N1-271-95-1, Item 1a and b, and N9-271-00-01, Item 25

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58. Index Cards for Lost Time Cases Under the Longshore and Harbor Workers Compensation Act and its Extensions

An alphabetic file containing an index card for each case in which there was a loss of time or compensation was paid.

Disposition: Temporary. Hold in office. Destroy 15 fiscal years after related case file is closed.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item 30 and N9-271-00-01, Item 28.

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59. Permanent Partial Disability Cases Involving the Loss of a Member for Which Prosthetic Appliances are Provided under the Longshore and Harbor Workers' Compensation Act and Its Extensions

Compensation cases in which purchases of prosthetic appliances are provided in addition to other compensation benefits. Such appliances are authorized during the lifetime of the claimant.

Disposition: Temporary. Hold in office. Destroy 6 fiscal years, 3 months after the claimant's death.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item 31 and N9-271-00-01, Item 29.

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60. Death Cases Under the Longshore and Harbor Workers' Compensation Act and Its Extensions

Reports of injuries resulting in death sustained by employees while working for employers who are covered under the LHWCA and its extensions.

Disposition: Temporary. Retain in office as long as there are qualified dependents. Change to closed status upon final adjudication of claim or upon death of last qualified dependent. Destroy 6 fiscal years, 3 months after final closing.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1; Item 32 and N9-271-00-01, Item 30.

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61. Index Cards for Death Cases Under the Longshore and Harbor Workers' Compensation Act and its Extensions

Alphabetical file containing an index card for each case in which there was a death reported. Use of index cards for this purpose was discontinued in 1986 when the automated LCMS was implemented. However cards are still needed to access records of cases for injuries prior to implementation of the LCMS.

Disposition: Temporary. Hold in office. Destroy 6 fiscal years, 3 months after related case file is closed.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item 33 and N9-271-00-01, Item 31.

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62. Pending File

Incomplete reports of injuries. Official reports are never received in these cases.

Disposition: Temporary. Hold in office. Destroy 1 fiscal year after date of receipt in district office.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item 34 and N9-271-00-01, Item 32.

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63. Insurance Coverage Cards (LS-570 & DC-570) and Related Correspondence Required Under Regulations Covering the Administration of the Longshore and Harbor Workers' Compensation Act and its Extensions

All employers subject to the LHWCA and its extensions are required to carry insurance coverage or act as self-insurers. When they take insurance coverage, the insurance carrier files a card with OWCP stating the policy number and expiration date.

Disposition: Temporary. Hold in office. Destroy 6 fiscal years, 3 months after expiration of coverage.

Electronic copy produced using e-mail and/or word processing: Delete when record keeping copy has been produced or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.

Supersedes Job No: NC1-271-80-1, Item 35 and N9-271-00-01, Item 33.

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64. Longshore Case Management System (LCMS)

The LCMS is an automated system in support of the Longshore and Harbor Workers' Compensation Act and its extensions. It contains data on claims filed and benefits paid, and is used in the daily procession of claims and the production of management reports related to the processing of claims.

Disposition:

- A. Input Records: Reports of injury, claims for compensation, controversion notices, medical reports, settlement and attorney fee applications, and various other documents related to individual claims for compensation.

These input records are placed in the individual case records. For records disposition of these records see "Lost-time Cases under the Longshore and Harbor Workers' Compensation Act and its Extensions", and "Death Cases Under the LHWCA and its Extensions", items 59 and 62 on this schedule.

- B. Master File: Temporary

The information maintained in the database for the Longshore Case Management System resides on eight (8) regional file servers, and is backed up on a daily basis to magnetic tape. The Master File is continuously updated. Delete electronic information when no longer needed.

- C. Output: Various management reports are system-generated both at regularly scheduled times and on an ad hoc basis.

Disposition: Temporary. Destroy reports when no longer needed for reference.

- D. Documentation: Includes manuals, training materials and system specifications describing the technical operation of the Longshore Case Management System.

Disposition: Temporary. Destroy when LCMS is replaced.

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