

Request for Records Disposition Authority

Records Schedule Number	DAA-0271-2017-0002
Schedule Status	Approved
Agency or Establishment	Office of Workers' Compensation Programs
Record Group / Scheduling Group	Records of the Office of Workers' Compensation Programs
Records Schedule applies to	Agency-wide
Schedule Subject	OFFICE OF WORKERS' COMPENSATION PROGRAMS: COMMON OFFICE RECORDS
Internal agency concurrences will be provided	Yes

Background Information

OFFICE OF WORKERS' COMPENSATION PROGRAMS: COMMON OFFICE RECORDS

The OWCP administers four major disability compensation programs, which provide wage replacement benefits, medical treatment, vocational rehabilitation and other benefits to certain workers or their dependents that experience work-related injury or occupational disease. These programs: Federal Employees' Compensation (FEC) which provides services to civilian employees of the Federal Government and certain other designated groups; Coal Mine Workers' Compensation (CMWC) which provides protection to the nation's coal miners totally disabled by pneumoconiosis or to their survivors; Longshore and Harbor Workers' Compensation (LHWC) which provides similar protection to private sector workers engaged in certain maritime and related employment ; Energy Employees Occupational Illness Compensation (EEOIC) provide lump-sum compensation and health benefits to eligible Department of Energy nuclear weapons workers (including employees, former employees, contractors and subcontractors). These programs serve the specific employee groups who are covered under the relevant statutes and regulations by mitigating the financial burden resulting from workplace injuries.

This records schedule revises previously approved items to media neutral and modifies descriptions in previous schedules. OWCP is responsible for maintaining these records throughout their lifecycle while under the responsibility of OWCP. This records schedule applies to all organizational elements of OWCP. This records schedule changes the following items:

Supersedes:

- N1-271-02-01 Items: 2, 3, 4, 7, 9a-b, 10a-b, 11, 12b, 22a-b, 23, 47, and 52
- N1-271-06-1 Items: 3, 7

Obsoletes:

- N1-271-02-01 Items: 5, 6, 8, 12a, and 13a-b
- N9-271-00-01 Items: 42-44

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
10	2	8	0

GAO Approval

Outline of Records Schedule Items for DAA-0271-2017-0002

Sequence Number	
1	Program Subject File Disposition Authority Number: DAA-0271-2017-0002-0001
2	Claimants' Correspondence Disposition Authority Number: DAA-0271-2017-0002-0002
3	Training Records Disposition Authority Number: DAA-0271-2017-0002-0003
4	Accountability Review Reports Disposition Authority Number: DAA-0271-2017-0002-0004
5	Quarterly Rehabilitation Reports Disposition Authority Number: DAA-0271-2017-0002-0005
6	OWCP Directives Disposition Authority Number: DAA-0271-2017-0002-0006
7	Legislative and Legal Subject Files
7.1	Legislative Files Disposition Authority Number: DAA-0271-2017-0002-0007
7.2	Legal Files Disposition Authority Number: DAA-0271-2017-0002-0008
8	Work Measurement Reports in Director's Office Disposition Authority Number: DAA-0271-2017-0002-0009
9	OWCP Publications Disposition Authority Number: DAA-0271-2017-0002-0010

Records Schedule Items

Sequence Number	
1	<p>Program Subject File</p> <p>Disposition Authority Number DAA-0271-2017-0002-0001</p> <p>Includes Director, and Deputy Director, 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, audits, investigative, claims, hearings, and court cases, regulations, opinions and technical assistances. Arranged by subject-numeric code.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-271-02-01 Item No. 2</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Screen annually.</p> <p>Retention Period Destroy when 5 years old or when no longer needed for reference.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Claimants' Correspondence</p> <p>Disposition Authority Number DAA-0271-2017-0002-0002</p> <p>Includes correspondence with Members of Congress, Members of the Senate, and White House staff, or claimant, or representatives relating to inquiries made on behalf individual claimants.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p>

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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-271-02-01 Item No. 3

Disposition Instruction

Cutoff Instruction

Break file annually.

Retention Period

Destroy 3 year(s) after cutoff

Additional Information

GAO Approval

Not Required

Training Records

Disposition Authority Number

DAA-0271-2017-0002-0003

The records are agency-sponsored record specific learning resources including; manuals, syllabuses, textbooks, flowcharts, and other training aids used in instructing OWCP and non-OWCP employees. Records may consist of working files generated during the training development phase, training workgroup meeting notes, correspondence, memoranda, training participation surveys developed by the programs within OWCP.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-271-02-01 Item No. 23
N1-271-02-01 Item No. 47
N1-271-06-1 Item No. 7

Disposition Instruction

Cutoff Instruction

Break files at end of calendar year.

Transfer to Inactive Storage

Transfer to FRC when three calendar years old.

Retention Period

Destroy when 10 calendar years old.

Additional Information

GAO Approval

Not Required

4

Accountability Review Reports

Disposition Authority Number DAA-0271-2017-0002-0004

Correspondence, worksheets, preliminary, and final reports related to review of district office, program operations.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered No

by this item currently exist in
electronic format(s) other than e-
mail and word processing?

GRS or Superseded Authority Citation N1-271-02-01 Item No. 52

Disposition Instruction

Cutoff Instruction Break files at end of calendar year.

Retention Period Destroy 3 years after end of calendar year, or when
no longer needed, whichever is later.

Additional Information

GAO Approval Not Required

Quarterly Rehabilitation Reports

Disposition Authority Number DAA-0271-2017-0002-0005

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

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered No

by this item currently exist in
electronic format(s) other than e-
mail and word processing?

GRS or Superseded Authority Citation N1-271-02-01 Item No. 7

Disposition Instruction

Cutoff Instruction Break file annually.

Retention Period Destroy when 5 years old, or when no longer needed
for business purposes, whichever is later.

Additional Information

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6

GAO Approval Not Required

OWCP Directives

Disposition Authority Number DAA-0271-2017-0002-0006

Concerning policies, instructions, and procedures within OWCP. Bulletins detail policy and procedure changes, describe special reports and announce pilot programs within OWCP. Circulars call attention to standing instructions or standards. Transmittals introduce changes into the OWCP Procedure Manual. Filing scheme is numerical.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-271-02-01 Item No. 9a-b

Disposition Instruction

Cutoff Instruction Break file when 15 years old.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 15 year blocks 15 year(s) after block is closed

Additional Information

First year of records accumulation 1997

What will be the date span of the initial transfer of records to the National Archives? From 1997 To 2012

How frequently will your agency transfer these records to the National Archives? Every 15 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	0.322 MB	0.034 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

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Legislative and Legal Subject Files

7.1

Legislative Files

Disposition Authority Number DAA-0271-2017-0002-0007

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.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-271-02-01 Item No. 10a

Disposition Instruction

Cutoff Instruction Break file at end of fiscal year. Screen annually.

Retention Period Destroy when 3 years old or no longer needed for business purposes, whichever is later.

Additional Information

GAO Approval Not Required

7.2

Legal Files

Disposition Authority Number DAA-0271-2017-0002-0008

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

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-271-02-01 Item No. 10b
N1-271-06-1 Item No. 3

Disposition Instruction

Cutoff Instruction

Break file at end of fiscal year.

Retention Period

Destroy 7 years after cutoff or when no longer needed, whichever is later

Additional Information

GAO Approval

Not Required

Work Measurement Reports in Director's Office

Disposition Authority Number

DAA-0271-2017-0002-0009

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

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-271-02-01 Item No. 11

Disposition Instruction

Cutoff Instruction

Break file at end of fiscal year.

Transfer to Inactive Storage

Transfer if volume warrants to FRC.

Retention Period

Destroy when 10 years old.

Additional Information

GAO Approval

Not Required

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OWCP Publications

Disposition Authority Number

DAA-0271-2017-0002-0010

OWCP reports and studies, which analyze the operations, administrative activities, patterns of injury, occupational disease, extent of compensation, actuarial information, and status of OWCP programs and the impact of the legislatively mandated changes to existing programs or the creation of programs. Arranged chronologically. Annual accumulation less than one cubic foot.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-271-02-01 item 12b
N1-271-02-01 item 4

Disposition Instruction

Cutoff Instruction Break file at end of fiscal year.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) after block is closed

Additional Information

First year of records accumulation 2012

What will be the date span of the initial transfer of records to the National Archives? From 2012 To 2017

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	0.936 MB	0.936 MB
Paper		
Microform		

Hardcopy or Analog Special Media		
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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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/13/2017	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
06/11/2018	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/03/2018	Submit For Certification	Yoon Ferguson	Lead Program Analyst	Office of Workers' Compensation Programs - Office of Workers' Compensation Programs
07/11/2018	Certify	Tanisha Bynum-Frazier	Supervisory Program Analyst	Department of Labor - OASAM
08/08/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
08/15/2018	Concur	Sebastian Welch	Supervisory Archives Specialist	National Archives and Records Administration - ACR4
08/16/2018	Return to Submitter	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/22/2018	Return to Submitter	Sebastian Welch	Supervisory Archives Specialist	National Archives and Records Administration - ACR4
08/23/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration

				- Records Management Services
08/24/2018	Concur	Sebastian Welch	Supervisory Archives Specialist	National Archives and Records Administration - ACR4
08/29/2018	Return to Submitter	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/31/2018	Return to Submitter	Sebastian Welch	Supervisory Archives Specialist	National Archives and Records Administration - ACR4
08/31/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/05/2018	Concur	Sebastian Welch	Supervisory Archives Specialist	National Archives and Records Administration - ACR4
09/06/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/06/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist