

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-271-02-001

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Explanation / Description:

This schedule was superseded by four new schedules DAA-0271-2017-0002, DAA-0271-2017-0003, DAA-0271-2017-0004, and DAA-271-2017-0005. Other items were superseded by the GRS or rendered obsolete by new work processes.

DAA-0271-2017-0002 supersedes items 1-13

DAA-0271-2017-0003 supersedes items 14-32

DAA-0271-2017-0004 supersedes items 33-44

DAA-0271-2017-0005 supersedes items 45-68

Date Reported:

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N7-211-02-01	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9/16/2002	
1. FROM (Agency or establishment) U.S. Department of Labor		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Employment Standards Administration			
3. MINOR SUBDIVISION Office of Workers' Compensation Programs			
4. NAME OF PERSON WITH WHOM TO CONFER Brad Sinkovik	5. TELEPHONE NUMBER 202-693-0256	DATE 4-30-04	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
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 needed now for the business for 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, <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input checked="" type="checkbox"/> X is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </div>			
DATE 8/12/02	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>		TITLE <i>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 GRS OR SUPERSEDED JOB CITATION	10.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, medial 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.		

cc: Legacy DB NWML NWMD NWME NWCT
Revised schedule approved by ESA RL via email, 11/18/03

OFFICE OF WORKERS' COMPENSATION PROGRAMS:
RECORDS DISPOSITION SCHEDULE

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.

A. OFFICE OF WORKERS' COMPENSATION PROGRAMS
NATIONAL OFFICE

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 years old.

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

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**. Hold in office. Screen annually. Destroy when 5 years old or when no longer needed for reference, whichever is sooner.

Supersedes Job No.; NCI-271-80-1, Item No. 3.

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 years old.

Supersedes Job No.: NC1-271-80-1, Item No. 5

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. Transfer to NARA when 10 years old.

Supersedes Job No.: NC1-271-80-1, Item No. 6.

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 years old.

Supersedes Job No.: NC1-271-80-1, Item No. 7.

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 years old.

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

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 years old.

Supersedes Job No.: NC1-271-80-1, Item No. 10.

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 years old.

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

9. OWCP Directives

1964 to present. Arranged in numerical order by year. Annual volume: ½ cubic feet.

A. Directive(s) concerning policies, instructions and procedures within OWCP.

Disposition: **PERMANENT**. Break file when 15 years old and, if volume warrants, transfer to FRC. Transfer to NARA when 25 years old.

B. Directives concerning administrative matters; such as personnel selections, statistical reporting, equipment, space and travel.

Disposition: **Temporary**. Break file at end of fiscal year. Hold in office. Destroy when superseded or obsolete.

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

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: these records may not be transferred to a records center. Screen annually. Destroy when 3 years old or no longer needed for reference, whichever is later.

B. Legal opinions and determinations rendered by DOL 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 years old.

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

11. Work Measurement Reports in Director's Office.

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

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

Supersedes Job No.: N1-271-92-1. Item No. 3.

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. Arranged chronologically.

Disposition: **PERMANENT**. Transfer to NARA upon approval of this schedule. One cubic foot on hand.

- B. 1994 to present. OWCP reports. Arranged chronologically. Annual accumulation less than one cubic foot. (One cubic foot on hand.)

Disposition: **PERMANENT**. Transfer to NARA when 5 years old..

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

13. Electronic Mail and Word Processing System Copies of records of the National Office, OWCP

A. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: DELETE within 180 days after the recordkeeping copy has been produced.

B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition: DELETE when dissemination, revision, or updating is complete.

Supersedes N9-271-00-01, Items 1-9.

**B. DIVISION OF FEDERAL EMPLOYEES' COMPENSATION
NATIONAL OFFICE**

14. 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: **Temporary**. These records are no longer created as of 1976. Existing records stored in microfilm at the National Office will be destroyed upon approval of this schedule.

Supersedes NCI-271-80-1 item 12a, b & c.

NATIONAL AND FIELD OFFICES (FECA)

15. 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 years after cutoff. Destroy 15 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.

Supersedes NCI-271-00-1, item 1a, b, and c.

16. 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 Files not scanned into OASIS

Disposition: **Temporary**. When case is closed, place file in an inactive status for two years. After two years, transfer to offsite storage. Destroy 15 years after closure.

(2) Case Files scanned into OASIS

Disposition: **Temporary**. Destroy after scanning and verification in accordance with OWCP Automated System for Imaging Services (OASIS) manual instructions.

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.

Supersedes NC1-271-80-1 item 15a, a.2, and b.

17. Unpayable Bills

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

Supersedes NC1-271-80-1 item 17.

18. X-Ray Files

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

Supersedes NC1-271-80-1 item 18.

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

These records were no longer created as of December 1981 when the Automated Compensation Payment System went into effect nationwide.

Disposition: **Temporary.** Upon approval of this schedule, destroy all existing records.

Supersedes NC1-271-80-1 item 19.

20. 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. These records are no longer created as of 1993 because this information is now contained in the individual case files.

Disposition: **Temporary.** Upon approval of this schedule, destroy all existing records.

Supersedes NC1-271-80-1 item 20.

21. Financial Records

A. CA-102 Benefit Statements

1. Original:

Disposition: **Temporary:** Issue to claimant when compensation benefits paid.

2. Electronic copy retained at National Office.

Disposition: **Temporary:** Destroy when 6 years, 3 months old.

B. SF 1166 Voucher and Schedule of Payments

1. SF 1166's for compensation and bill payment cycles.

Disposition: **Temporary:** Transmit to Treasury with payment files.

2. Electronic copies retained at National Office.

Disposition: **Temporary:** Destroy when 6 years, 3 months old.

C. 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.

1. Hard copy report

Disposition: **Temporary:** Destroy when no longer needed.

2. Electronic copies retained at District Offices.

Disposition: **Temporary:** Destroy when 6 years, 3 months old.

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

1. Hard copy and electronic media reports listing all payments made for a Weekly Bill Payment cycle.

Disposition: **Temporary:** Hard copy report destroyed when no longer needed.

2. Electronic copies retained at District Offices.

Disposition: **Temporary:** Destroy when 6 years, 3 months old.

E. DFEC614 Report of Accounts and Loans Receivable Due from Public (Schedule 9)

1. Hard copy and electronic media report listing all debt transactions.

Disposition: **Temporary:** Hard copy report destroyed when no longer needed.

2. Electronic copies retained at National Office.

Disposition: **Temporary:** Destroy when 6 years, 3 months old.

Supersedes NCI-271-80-1 item 21.

22. FECA Bulletins and Circulars

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 file at end of Fiscal Year. Retire to FRC when 5 years old. Transfer to NARA when 20 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 contents are entered into the Procedure Manual.

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

23. 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.

Supersedes N1-271-92-1 item 6.

24. Bills Paid for Medical and Health Services

PRIVACY RESTRICTION: YES PRIVACY ACT SYSTEMS OF RECORD
DOL/GOVERNMENT-WIDE 1

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

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.

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

1. Disposition: **Temporary**. Destroy hard copy when film or image has been verified.
2. Disposition: **Temporary**. Retain the microfilm in the district office. Destroy microfilm 6 years, 3 months after bill is paid.
3. Disposition: **Temporary**. Retain the electronic image at a central file server. Destroy electronic image 6 years, 3 months after bill is paid.

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

Disposition: **Temporary.** Retain bill and CA-D-9 for two years in office, then transfer to FRC. Destroy 6 years, 3 months after bill is paid.

Supersedes N1-271-92-1 item 8.

25. Listing of payments of FECA Beneficiaries

PRIVACY RESTRICTIONS: YES
DOL/GOVERNMENT-1

A. Inputs: 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 Files:

1. 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.

Disposition: **Temporary:** Stored on mainframe with current vendor. Delete after the system is replaced by a new system and the new system is certified as an official agency records system.

2. 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).

Disposition: **Temporary:** Delete after the system is replaced by a new system and the new system is certified as an official agency records system.

3. 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. Copies of payment histories will be kept in electronic format and microfiche copies of prior payment histories

Disposition: **Temporary:** Destroy six years, three months after payment is authorized.

C. Outputs.

1. 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).

Disposition: **Temporary:** Destroy when six years, three months old.

2. Management reports generated by this system are provided upon request. These reports are retained by the requesting office (National Office or District Office).

Disposition: **Temporary**: Destroy when no longer needed.

- D. Documentation: 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)

Disposition **Temporary**: Provide current system documentation with each scheduled retirement of data base information.

Supersedes N1-271-92 -1, item 7a and b.

26. Table II Reports

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

Disposition: **Temporary**. Destroy when one year old.

Supersedes NC1-448-76-1, Item No. 13.

27. 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

- A. Inputs: 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.
In-house exclusions are posted as needed onto the National Office server.

Disposition: **Temporary**: Delete specific records from the server when HHD confirms that the period of exclusion has expired due to reinstatement. Disposition of documents supporting these exclusions is addressed under (D) of this item.

- B. Master File: 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.

Disposition: **Temporary**: Delete the name, address and tax identification number of the excluded provider from the automated system when provider is deceased.

- C. **Output:** 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.

Disposition: Temporary : Destroy when new report is generated.

- D. **Documentation:** 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.

1. Where the period of exclusion not a set period of time:

Disposition: Temporary: Retain file in the office for three years after the debarment action is final and then transferred to the Federal Records Center, where it is destroyed 30 years after the debarment action is final.

2. Where the period of exclusion is a set period of time:

Disposition: Temporary: Retain file for two years after the period of exclusion expires (or the individual is otherwise reinstated), then transferred to the Federal Records Center, and destroyed 30 years after the debarment action is final.

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

28. 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

- A. **Inputs:** 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.

Disposition: Temporary: See "Compensation Case File Reporting Lost Time and/or Death", item No. 15 of this schedule.

- B. **Master File:** Information resides on regional file servers and is backed up on a daily, weekly and monthly basis.

Disposition: Temporary: Delete after the system is replaced by a new system and the new system is certified as an official agency records system.

- C. **Output:** Various management reports are system-generated on a monthly, quarterly and ad hoc basis.

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

- D. **Documentation:** Manuals, training materials, and other materials describing the technical operations of PRMS.

Disposition: Temporary: Destroy when PRMS is replaced.

29. 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

- A. **Input Records:** Nurse and Counselor status reports related to individual claims for compensation. These records are placed in the individual case records. Also input is Nurse and Counselor licensing information given verbally over the telephone. For paper records disposition, see "Compensation Case Files Reporting Lost Time and/or Death", item No. 14 of this schedule.
- B. **Master File:** 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.

Disposition: **Temporary:** Delete after the system is replaced by a new system and the new system is certified as an official agency records system.

- C. **Output:** Various management reports are system-generated on a monthly and quarterly basis.

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

- D. **Documentation:** Temporary. Manuals, training materials, and other materials describing the technical operations of NRTS.

Disposition: **Temporary:** Destroy when NRTS is replaced.

30. Physicians Directory System (PDS)

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.

- A. **Input:** 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. Curriculum Vitae are maintained by the District PDS Manager as long as the physician is included in the database.

Disposition: **Temporary:** Destroy when the physician can no longer perform examinations.

- B. **Master File:** Information is maintained on regional file servers and is backed up on a daily, weekly and monthly basis.

Disposition: **Temporary:** Destroy when PDS is replaced.

- C. **Output:** Various management logs and reports are system-generated on an ad hoc basis.

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

- D. Documentation: Manuals, training materials, and other materials describing the technical operations of PDS.

Disposition: **Temporary:** Destroy when PDS is replaced.

31. OWCP Automated System for Imaging Services (OASIS)

- 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. For paper records disposition, see "Compensation Case Files Reporting Lost Time and/or Death", item No. 14 of this schedule

Disposition: **Temporary:** Destroy after scanning into OASIS and verification.

- B. Master File:

Disposition: **Temporary:** Delete 15 years after the case becomes inactive.

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

Disposition: **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.

Disposition: **Temporary:** Destroy when updated, superceded or when no longer needed.

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

32. Electronic Mail and Word Processing System Copies of records of the National and Field Offices, FECA

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: DELETE within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition: DELETE when dissemination, revision, or updating is complete.

Supercedes N9-271-00-01, Items 10-17, and 20.

C. DIVISION OF COAL MINEWORKERS' COMPENSATION (DCMWC)

33. 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.

- a. Section (a) case files (approved claims): Retain in appropriate office during lifetime of claimant and as long as there are qualified dependents.

Disposition: **Temporary**: Close file after all actions are completed and retire to FRC. Destroy 10 fiscal years after close.

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

Disposition: **Temporary** Close file after denial becomes final and all actions are completed. Retire to FRC 2 fiscal years after closing. Destroy 15 fiscal years after close.

Note: Electronic information about each black lung claim is retained in the Claimant Master File 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. Disposition: **Temporary**: Cut off every fiscal year. Transfer files and documentation to NARA every 10 fiscal years in 10-year blocks. See item #42 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.

34. 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. 33 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.

For x-rays associated with claims:

Disposition: **Temporary**: 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. X-ray films from denied claims will be held in the DCMWC office for 2 fiscal years after the claim is closed, then transferred to the FRC. Transfer the x-ray films to the FRC when the claim is closed. Destroy 17 fiscal years after close.

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. 26b and c. [26a is film prior to 1995]

35. Black Lung Bulletins, Transmittals and Circulars.

Issuances concerning policies, procedures, and program information.

A. Textual Documents:

Disposition: **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: 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.

Disposition: **Temporary** Retain on website until superseded, then delete.

Supersedes Job No: NC1-271-80-1, Item No. 47.

36. 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 files are used as a source for determining responsibility for payment of black lung claims.

1. Textual Cards:

Disposition: **Temporary**. Retain in office. Transfer to FRC when 25 fiscal years old. Destroy when 50 fiscal years old.

2. Electronic Operator Records: These records are maintained on the DCMWC's ASP (see Item 40.b of this schedule). The files 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.

Disposition: **Temporary** Retain in ASP until superseded, then delete.

- 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.

Disposition: **Temporary**. Retain in office. Transfer to FRC when 25 fiscal years old. Destroy 50 years after close.

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

37. 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**. Transfer to FRC when 25 fiscal years old. Destroy 50 years after close.

Supersedes Job No: NC1-271-80-1, Item No. 51.

38. 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.

A. Textual Records:

Disposition: **Temporary**: Retain in office. Destroy 1 fiscal year from date received.

B. Electronic Version of Records: Entered temporarily onto ASP, DCMWC's automated system.

Disposition: **Temporary**: Delete 1 fiscal year after entry, if no claim is filed.

PRIVACY ACT RESTRICTIONS: YES

PRIVACY ACT SYSTEMS OF RECORDS DOL/ESA-12.

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

39. 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. Recordkeeping copy is paper.

Disposition: **Temporary**: Transfer to FRC 1 fiscal year after case is closed. Destroy 10 fiscal years after close.

PRIVACY ACT RESTRICTIONS: YES

PRIVACY ACT SYSTEMS OF RECORDS DOL/ESA-12.

Supersedes Job No: NCI-271-80-1, Item No. 54

40. 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. Recordkeeping copy is paper.

Disposition: **Temporary:** Retain in office. Destroy when 3 fiscal years old.

Supersedes Job No: NCI-271-80-1, Item No. 55.

41. 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.

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. Bills are batched by claims, copied electronically and the batch placed in a folder.

1. Hard Copy Bills:

Disposition: **Temporary:** Transfer determination bill folders from the payment operation to FRC, after they have been paid. Destroy bill folders 15 fiscal years after input.

2. Electronic Version:

- a. Bills processed after February 1, 1999. These are entered onto electronic patters for retention.

Disposition: **Temporary:** Delete when no longer needed for reference.

- b. Bills processed before February 1, 1999. Copied onto microfilm rolls for retention.

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

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 6 years and 3 months after input.

2. Electronic records: Electronic copies of these bills have been kept on patters starting February 1, 1999. Prior to that date, bill copies were kept on microfilm and destroyed when no longer needed.

Disposition: See Item 44b of this schedule.

C. Copies of Treatment Bills:

Copies of treatment bills have been kept on electronic patters 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. 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. Close files and transfer to FRC. Destroy 10 fiscal years after close.

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.

42. Electronic 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 to a client-server system.

FILE SCHEME: Most records are kept in order by the miner's social security number.
 VOLUME ON HAND: One 43-gigabyte DLT cartridge, will soon expand to two cartridges.
 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 the data on those files remain in the current system.

Restrictions: Privacy Act considerations.

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

- A. Master File: The ASP master file is made up of three subsystems. In April 2001, DCMWC converted from a mainframe to a client server system. The former Claimant Master File and Disability Benefits Payment System were absorbed into the current CAPS (Claimant and Payment Subsystem). CAPS files are permanent. They are cut off yearly and the files and documentation are transferred to NARA every 10 fiscal years. DMCWC has reached a special agreement with NARA whereby the files shall be withheld for 90 fiscal years from the date of each cutoff.

The subsystems are:

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

DISPOSITION: **Permanent**. Cut off every 10 fiscal years and transfer copy to NARA.

2. The Claimant and Payment Subsystem (CAPS): System contains voluminous information about individual black lung claim status and location and compensation payments. Filed in order by miner's social security number

ANNUAL GROWTH RATE: Approximately 8000 records per year.

VOLUME ON HAND: Among the 43 gigabytes on one (1) cartridge

Disposition: **PERMANENT**. Cutoff every 10 fiscal years and transfer copy to NARA.

3. The Medical Bill Processing System (MBPS): System contains the data regarding black lung medical bills, both diagnostic and treatment. Filed in order by miner's social security number.

ANNUAL GROWTH RATE: Approximately 500,000.

VOLUME ON HAND: The data on hand is included in the 43 gigabytes on one (1) cartridge.

Disposition: **PERMANENT**: Cut off every 10 fiscal years and transfer copy to NARA.

Supersedes Job No. NCI-271-92-1, items 23a, b, c, d, e, f, g, h, i, j, k, and l

- B. 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.

Disposition: **TEMPORARY**: Destroy hardcopies when no longer needed.

Supersedes Job No. N1-271-92-1, Item No. 24a.

2. Weekly Reports.

Disposition: **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.

Disposition: **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.**

Disposition: **TEMPORARY**. Retain hardcopies in office for 5 fiscal years, then destroy.

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

5. **Yearly Reports.**

Disposition: **TEMPORARY**. Retain hardcopies in office for 5 fiscal years, then destroy.

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

6. **On-Request Reports.**

Disposition: **TEMPORARY**. Retain hardcopies in office for one fiscal year, then destroy.

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

7. **Ad-Hoc Reports.**

Disposition: **TEMPORARY**. Retain hardcopies in office for 5 fiscal years, then destroy.

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

- C. **Documentation:** These are manuals, training materials, indexes, etc., pertaining to the construction, operations and maintenance of the ASP.

Recordkeeping copy:

Disposition: **PERMANENT**: Transfer copies to NARA along with data every 10 fiscal years.

Retain in house for 2 years after system is superseded then ~~transfer to NARA~~ *destroy*

Agency copy: Temporary

43. 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)a and the FAADS (Federal Assistance Award Data System) report benefit expenditures by county.

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

PRIVACY ACT RESTRICTIONS: Yes

PRIVACY ACT SYSTEMS OF RECORD DOL/ESA-30.

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

44. Electronic Mail and Word Processing System Copies of records of the National Office, DCMWC

A. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: DELETE within 180 days after the recordkeeping copy has been produced.

B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition: DELETE when dissemination, revision, or updating is complete.

Supersedes N9-271-00-01, Items 50, and 53-58.

C. DIVISION OF LONGSHORE AND HARBOR WORKERS' COMPENSATION
NATIONAL OFFICE

45. 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: Arranged in numerical order by calendar year.

Current volume: 9 cubic feet

Annual accumulation: 1/16 cubic feet

Disposition: **PERMANENT**. Break file at end of calendar year and hold in office. Transfer to NARA when file is 20 years old.

Supersedes Job No: N1-271-92-1, Item 9.

46. 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**. Hold in office. Destroy when 10 years old.

Supersedes Job No: N1-271-92-1, Item 10.

47. Training Records

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

Disposition: **Temporary**. Hold in office. Destroy when 10 years old.

Supersedes Job No: N1-271-92-1, Item 11

48. DLHWC Internal Planning Records

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

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

Supersedes Job No: N1-271-92-1, Item 12

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

District office statistical reports on program plan performance.

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

Supersedes Job No: N1-271-92-1, Item 13.

50. Quarterly Review and Analysis Reports

Quarterly summaries of district office performance regarding operational plans.

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

Supersedes Job No: N1-271-92-1, Item 14

51. 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**. Retire to FRC five years after final notice has been published in the Federal Register. Destroy when 10 years old.

Supersedes Job No: N1-271-92-1, Item 16.

52. Accountability Review Reports

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

Disposition: **Temporary**. Hold in office. Destroy 2 years after end of calendar year after review, or when no longer needed for current operations, whichever is earlier.

Supersedes Job No: N1-271-92-1, Item 18.

53. 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.

A. Input Records:

1. Case file documents and forms on individual claimants (see "Special Fund Case Files", item 57 on this schedule, for paper records disposition schedule).
2. Insurance Carrier applications (see "Insurance Carrier Authorization Files", item 54 on this schedule, for paper records disposition schedule).
3. Self-Insurance Applications (see "Self-Insurance Authorization Files", item 55 on this schedule, for paper records disposition).

- B. Master File: 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.

Disposition: **Temporary**. Delete electronic information when no longer needed.

C. Output: Various hard copy reports are system generated on a scheduled basis:

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 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**. Hold in office. Destroy when Longshore Special Fund is replaced.

Supersedes Job No. N1-271-92-1, Item 21.

54. 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 years after last covered worker / beneficiary is deceased.

Supersedes Job No: NC1-271-80-1, Item 22.

55. 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 years after last covered worker/ beneficiary is deceased.

Supersedes Job No: NC1-271-80-1, Item 24.

56. 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 years old.

Supersedes Job No: NC1-271-80-1, Item 26.

57. 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**. Hold in office. Transfer to FRC 3 years after case is closed. Destroy 15 years after case is closed.

NATIONAL AND DISTRICT OFFICES

58. Claimant Representatives Files

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.

A. If case results in debarment:

Disposition: **Temporary**. Retain in office for three years after the period of exclusion expires. Transfer to the FRC. Destroy 10 years after period of exclusion expires.

B. If the case does not result in debarment:

Disposition: **Temporary**. Retain in office for three years after investigation is completed. Transfer to the FRC. Destroy 10 years after investigation is completed.

Supersedes Job No.: N1-271-92-1, Item No. 29.

59. Physicians and Health Care Providers Excluded Under the Longshore and Harbor Workers' Compensation Act Files

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.

A. When the debarment action is final:

Disposition: **Temporary**. Retain in office for three years after the debarment action is final. Transfer to the FRC. Destroy 10 years after debarment action is final.

B. When the period of exclusion is defined as a set period of time:

Disposition: **Temporary**: Retain file for two years after the period of exclusion expires (or the individual is otherwise reinstated). Transfer to the FRC. Destroy 10 years after the debarment action is final.

Supersedes Job No.: N1-271-92-1, Item No. 30.

DISTRICT OFFICES

60. 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 years after case is closed. Destroy 15 years after case is closed.

- B. Records, Transcripts, Exhibits from ALJ Formal hearings; Benefits Review Board, Court of Appeals or Supreme Court.

Disposition: **Temporary**. Transfer to FRC 2 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 years after a final determination of approval by any of the aforementioned bodies.

Supersedes Job No: N1-271-95-1, Item 1a and b.

61. 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 years after related case file is closed.

Supersedes Job No: NC1-271-80-1, Item 30.

62. 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 years, 3 months after the claimant's death.

Supersedes Job No: NC1-271-80-1, Item 31

63. 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 years, 3 months after final closing.

Supersedes Job No: NCI-271-80-1; Item 32.

64. 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 years, 3 months after related case file is closed.

Supersedes Job No: NCI-271-80-1, Item 33.

65. Pending File

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

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

Supersedes Job No: NCI-271-80-1, Item 34.

66. 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 years, 3 months after expiration of coverage.

Supersedes Job No: NCI-271-80-1, Item 35.

67. 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.

- 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.

Disposition: These input records are placed in the individual case records. For disposition of these paper 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: 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.

Disposition: **Temporary**: 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.

68. Electronic Mail and Word Processing System Copies of records of the National and District Offices, DLHWC

- A. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: DELETE within 180 days after the recordkeeping copy has been produced.

- B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition: DELETE when dissemination, revision, or updating is complete.

Supersedes N9-271-00-01, Items 18, 20, 22-33, 45-49, and 52-59.