Schedule Number: N1-271-06-001

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.

Explaination / Description:

DAA-0271-2017-0006 supersedes this schedule in its entirety.

Date Reported:

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY	LEAVE BLANK (NARA use only)
	JOB NUMBER N1-271-06-1
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001	Date Received 12-16-2005
1 FROM (Agency or establishment) US DEPARTMENT OF LABOR	NOTIFICATION TO AGENCY
2 MAJOR SUB DIVISION EMPLOYMENT STANDARD ADMINISTRATION	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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10
3 MINOR SUBDIVISION EEOIC	

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Brad Sunkovic	202-693-0256	12 Oct 10	

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 7 page(s) are not needed now 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,

[X] is not required [ ] is attached, or [ ] has been requested

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
12/15/2005		Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached sheets		

US Department of Labor
Employment Standards Administration
Office of Worker's Compensation Programs
Division of Energy Employees' Occupations Illness Compensation

The Energy Employees Occupational Illness Compensation Program (EEOICP) began on July 31, 2001 with the Department of Labor's implementation of Part B, Part E implementation began on October 28, 2004 The mission of the program is to provide lump-sum compensation and health benefits to eligible Department of Energy nuclear weapons workers (including employees, former employees, contractors and subcontractors) and lump-sum compensation to certain survivors if the worker is deceased When you apply for either Part B and/or Part E we will collect medical, employment, and other information from you and make a decision about whether or not you qualify for compensation and benefits

The mission of the Energy Employees Occupational Illness Compensation Program is to deliver benefits to eligible employees and former employees of the Department of Energy, its contractors and subcontractors or to ceitain survivors of such individuals, as provided in the Energy Employees Occupational Illness Compensation Program Act The mission also includes delivering benefits to certain beneficiaries of Section five of the Radiation Exposure Compensation Act.

NATIONAL OFFICE

1. Administrative Subject Files

Correspondence, memoranda, and reports relating to all routine administrative matters such as office services, personnel, budgetary concerns, travel, and procurement

Disposition: Temporary. Cut off at the end of annual year Hold in office Destroy 3 years after cut-off

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2. Congressional Correspondence

Correspondence with Members of Congress, Members of the Senate, and White House staff relating to inquires made of behalf of their constituents

Disposition: Temporary. Cut off at the end of annual year Hold in office Destroy 3 years old after cut-off

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3. Legislative and Legal Subject Files

Legal opinions and determinations rendered by DOL Solicitor relating to EEOICPA laws, rules, and/or regulations

Disposition: Temporary. Cut off at the end of fiscal year Hold in office, chronologically filed Destroy 7 years after cut-off or when no longer needed for reference, whichever is later

NATIONAL AND DISTRICT OFFICES (EEOICPA)

4. Case Files

Case files include claims, proofs of relationship, medical reports and medical history, employment history and verification, affidavits, authorization to obtain earnings data from the Social Security Administration, power of attorney, appointment of representation, dose reconstruction, recommended and final case decisions, appeals, travel request and authorization, claims for medical and travel reimbursement, waivers, payment records, and any results of administrative determinations or court ruling, relating to the illness of Energy employees covered under the EEOICPA and sustained while in the performance of their duties and resulting in illness and/or death

Disposition: Temporary. Cut off file when no activity has taken place for 2 years (after date of final action) Hold closed files in district office, numerically filed for 3 years Transfer to FRC 3 years after date of final action Destroy 20 years after date of final action

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5. EEOICPA Bulletins and Circulars

Bulletins detail policy and procedure changes, describe special reports and announce pilot programs within DEEOIC Circulars call attention to standing instructions or standards and announce items of informational value, such as changes in EEOICPA forms, and internal matters like statistical reporting and travel Transmittals introduce changes into the EEOICPA Procedure Manual Filing scheme is numerical

A Bulletins

Disposition: Permanent Cut off files at end of fiscal year Hold in office, chronologically filed If hardcopy, transfer to FRC 5 years after cut-off Transfer to NARA 20 years after cut-off If in PDF or other electronic format, transfer a "pre-accessioning" copy to NARA 5 years after cut-off in accordance to NARA regulation and guidance for PDF and other electronic formats Transfer legal custody to NARA 20 years after cut-off

B Circulars

Disposition Permanent Cut off files at the end of fiscal year Hold in office, chronologically filed If hardcopy transfer to FRC 5 years old after cut-off Transfer to NARA 20 years after cut-off If in PDF or other electronic format, transfer a "pre-accessioning" copy to NARA 5 years after cut-off in accordance to NARA regulation and guidance for PDF and other electronic formats Transfer legal custody to NARA 20 years after cut-off

C Transmittals

Disposition: Temporary Hold in office, chronologically filed Cut-off file when superseded, obsolete, or when no longer needed for reference Destroy 5 years old after cut-off

6. Accountability Review Reports

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

Disposition: Temporary. Hold in office Cut-off files at the end of annual year Destroy 3 years after cut-off if review demonstrates files no longer needed , needed for current operations

7. Training Records

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

Disposition: Permanent Cut off file at the end of Calendar Year Ifhardcopy transfer to FRC 5 years after cut-off Transfer to NARA 10 years after cut off If in PDF or other electronic format, transfer a "pre-accessioning" copy to NARA 5 years after cut-off in accordance to NARA regulation and guidance for PDF and other electronic formats Transfer legal custody to NARA 10 years after cut-off

8. Financial Records

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

A Medical Payments/reimbursements

Payments and reimbursements are received and processed by Medical Bill Procession Contractor (MBPC) The employee/claimant and provider submit one or more of the forms listed below when claiming payment or reimbursement for medical services Bills are scanned then batched for processing Each batch has 50 pages

Claimant Medical Reimbursement (DOL Form CA-915)
Medical Travel Refund Request [Employee] (DOL Form OWCP-957)
Uniform Health Insurance Claim Form (DOL Form UB-92)
Health Insurance Claim Form (DOL Form OWCP/HCFA-1500)

Disposition **Temporary.** MBPC retains form for two years, chronologically filed by batch date, then transfer to FRC Cut off paid files at the end of calendar year Destroy 6 years, 3 months after cut-off

B Benefits

Form EE-20, Authorization for Payment with attached form EN-20 detail how payments should be issued, electronic fund transfer or check Payment Transaction Form (PTF) documents actual payment Benefits Transaction Form documents weekly payment remitted District Office Staff create the payment and enter it into Energy Case Management System (ECMS)

a Form EE-20, Authorization for Payment with EN-20

Disposition **Temporary.** Attached to the claim file Cut off files in which no activity has taken place for 2 years (after date of final action) Hold closed files in district office, numerically filed for 3 years Transfer to FRC 3 years after date of final action Destroy 20 years after date of final action

b Payment Transaction Form (PTF)

Disposition

1 File copy **Temporary.** Cut off files in which no activity has taken place for 2 years (after date of final action) Hold closed files in district office, numerically filed for 3 years Transfer to FRC 3 years after date of final action Destroy 20 years after date of final action

2 Record copy **Temporary.** Original records retained in folder secured by lock and key Filed chronologically, oldest to most current Cut off file every third annual year Transfer to FRC Destroy files 17 years after cut-off

c Benefits Transaction History Report

Disposition

1 File copy **Temporary.** Attached to the claim file Cut off files in which no activity has taken place for 2 years (after date of final action) Hold closed files in district office, numerically filed for 3 years Transfer to FRC 3 years after date of final action Destroy 20 years after date of final action

2 Record copy **Temporary.** Original records retained in folder secured by lock and key Filed chronologically, oldest to most current Cut off file every third annual year Transfer to FRC Destroy files 17 years after cut-off

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9. Listing of payments of EEOICPA Beneficiaries

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

Disposition:

A Inputs **Temporary** Case management actions taken in claim files involving medical expenses Input records are placed in the individual case files See "Claim Files item 4

B Master File **Temporary.** Payment data is maintained in the Energy Medical Bill Pay System (EMBPS) This data can be accessed to provide users with compensation, medical bill pay (medical providers) and medical reimbursement (to claimants) case histories taken on behalf of EEOICPA recipients EMBPS is continuously updated as additional payments are made Delete electronic information when no longer needed

C Output

a Hard Copy Reports Consist of computer printouts generated from EMBPS data stored in the database, which summarizes costs for individual cases, under EEOICPA during the chargeback year (July1 through June 30)

Disposition: Temporary Destroy when six years, three months old

b ~~Management Reports~~ Generated byrthis system arenprovided upon request These reports are retained by the ~~requesting office (National Office or District Office)~~

Disposition: Temporary Destroy when no longer needed (GRS 20, Items ~~6, 12, 16~~)

D Documentation Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records

Disposition Temporary Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later (GRS 20, Item 11a (1))

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10. Listing of Excluded Providers

PRIVACY RESTRICTION: YES
DOL/ESA-29

Report which lists all physicians who have been excluded from receiving payment for services billed under EEOICPA, 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 Energy employees which are higher than same services rendered to non-Energy employees, etc

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

Disposition: Temporary Specific records are deleted from the server when HHS advises that the period of exclusion has expired due to reinstatement

Note: 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 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 EEOICPA 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

Disposition: Temporary Destroy when no longer needed

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 EEOICPA If appropriate, ~~also~~ lists the beginning and ending dates of exclusion for payment

Disposition: Temporary Destroy when new report is generated (GRS 20, ~~Item 16~~)

D Related Correspondence A correspondence file pertaining to in-house exclusions include letters to and from members of Congress, DEEOIC 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

Disposition: Temporary Cut off files in which debarment action is finalized Transfer segregated debarment files to FRC at end of fiscal/annual year Destroy 30 years after date of final debarment action

E Documentation Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records

Disposition Temporary Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later (GRS 20, Item 11a (1))

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11. Energy Case Management System (ECMS)

PRIVACY RESTRICTIONS: YES
DOL/ESA-49 System of Records – Office of Workers' Compensation Programs, Energy Employees Occupational Illness Compensation Program Act File

ECMS provides on-line case create, tracking, query, and report generation functionality, allows authorized staff to create, verify, certify, and authorize lump sum compensation transactions to establish eligibility for benefit payments, and, generates payment eligibility files The system

maintains records of claim files, the adjudicatory status of claims awarded, denied, and in process, the amount of lump sum payments issued, and, eligibility status for covered medical conditions

A Input Claims for EEOICP benefits, survivor data, personal claimant information (e g , Social Security Number, address, date of birth, financial), employment histories, medical and dose reconstruction data, compensation payment records, and, adjudication, benefit entitlement, and location data in individual case files

Disposition: Temporary For paper records disposition, see Item 4- Case Files of this schedule

B Master File ECMS is a centralized client server database application that resides on a file server in the Frances Perkins Building ESA Computer Room in Washington, D C The file is backed up on a daily, weekly, and monthly basis

Disposition: Temporary. Destroy electronic information when no longer needed

C Output Management information reports to assist DEEOIC manage case workloads, monitor system integrity, and measure program and staff performance Generates eligibility files for payment of covered medical and lump sum compensation payments that facilitate generating magnetic tapes for transmitting payment data to the U S Department of Treasury Reports are generated daily, weekly, monthly, and quarterly on a routine or ad hoc basis to meet internal and external requests for information in accordance with Privacy Act requirements

Disposition: Temporary Destroy reports when no longer needed for reference (GRS 20, Items 6, 12, 16)

D Documentation User manuals, training materials, and documentation pertaining to design, specifications, operations, and maintenance of ECMS

Disposition: Temporary Destroy when ECMS or materials are replaced (GRS 20, Item 11a (1))

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12. Energy Processing System (EPS)

PRIVACY RESTRICTIONS: YES
DOL/ESA-49 System of Records – Office of Workers' Compensation Programs, Energy Employees Occupational Illness Compensation Program Act File

The EPS processes and pays bills for medical and travel expenses relating to services and supplies provided to Energy Employees Occupational Illness Compensation Program Act (EEOICPA) beneficiaries for treatment of their covered medical conditions

EPS stores program criteria pertaining to procedures, drugs, covered diagnoses, provider enrollment, and payment history necessary for maintenance of the system's edit and audit files for proper adjudication and suspension of medical bills Authorized users can query information about claimants' eligibility status and bills paid, denied, and/or suspended System generated reports are used for workload management and other administrative purposes

A Input Claims for medical and travel benefits, personal claimant information (e g , Social Security Number, address, date of birth, financial), medical data and histories, medical payment records, and medical benefit entitlement

Disposition: Temporary For paper records disposition, see Item 4- Case Files of this schedule

B Master File EPS is a client server database application that resides on a file server at the MBPC EPS has no direct connectivity with other systems and there is no public access to the system The file is backed up on a daily, weekly, and monthly basis

Disposition: Temporary. Destroy electronic information when no longer needed Database backups are disposed of in accordance to GRS 20, item 8

C Output Management information reports to assist DEEOIC manage and evaluate medical and travel bill processing In addition, EPS generates magnetic tapes for transmitting medical bill payment data to the U S Department of Treasury Reports are generated daily, weekly, monthly, and quarterly on a routine or ad hoc basis to meet internal and external requests for information in accordance with Privacy Act requirements

Disposition: Temporary. All management reports that are generated are maintained for one (1) year and then destroyed

D Documentation User manuals, training materials, and documentation pertaining to design, specifications, operations, and maintenance of EPS

Disposition: Temporary. The manuals described above are secured at the Lanham facility in the Technical Information Library The intent is to maintain them in this manner until the contract terminates at which time the hardcopy materials will be destroyed and an electronic copy will be transferred to the DOL COTR (GRS 20, Item 11a (1))

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13. Energy Records Access Management (ERAM) System

PRIVACY RESTRICTIONS: YES
DOL/ESA-49 System of Records – Office of Workers' Compensation Programs, Energy Employees Occupational Illness Compensation Program Act File

ERAM provides tracking, query, and report generation functionality, allows authorized staff to create web-based application and databases for EEOICPA beneficiaries for the submission of their claims, provides on-line tracking of program outreach services and contractor work hours

A Input Claims for EEOICP benefits, survivor data, personal claimant information (e g , Social Security Number, address, date of birth,), employment histories, medical and dose reconstruction data, and, adjudication, and location data in individual case files

Disposition: Temporary For paper records disposition, see Item 4- Case Files of this schedule

B Master File ERAM is a centralized client server database application that resides on a file server with the Eagle Resource Group at the Battelle Facility in Columbus, Ohio The file is backed up on a daily, weekly, and monthly basis

Disposition: Temporary Destroy electronic information when no longer needed

C Output Management information reports to assist DEEOIC manage case workloads, monitor system integrity, and measure program and staff performance Reports are generated daily, weekly, monthly, and quarterly on a routine or ad hoc basis to meet internal and external requests for information in accordance with Privacy Act requirements

Disposition: Temporary Destroy reports when no longer needed for reference (GRS 20, Items 6, 12, 16)

D Documentation User manuals, training materials, and documentation pertaining to design, specifications, operations, and maintenance of ERAM

Disposition: Temporary Destroy when ERAM or materials are replaced (GRS 20, Item 11a(1))

14. Electronic Mail and Word Processing System Copies of Records of the National Office and Field Offices

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 disc or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy

Disposition: Temporary. Delete within 180 days after the recordkeeping copy has been produced (GRS 20, Items 13, 14)

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

Disposition: Temporary Delete when dissemination, revision, or updating is complete (GRS 20, Items 13, 14)