

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-271-92-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 08/27/2020

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 15, Annual reports

Item 17, Longshore (DLHWC) Procedure Manual

Item 19, Awards from the Special Fund - 08(f)

Item 26A, X-Ray Films for approved claims

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

The inactive items on this schedule are superseded by N1-271-02-001.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

TO. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA)
 WASHINGTON, DC 20408

1. FROM (Agency or establishment)
 U. S. Department of Labor

2. MAJOR SUBDIVISION
 Employment Standards Administration

3. MINOR SUBDIVISION
 Office of Workers' Compensation Programs

4. NAME OF PERSON WITH WHOM TO CONFER
 Dottie Chester

5. TELEPHONE
 202-523-8447

DO NOT WRITE IN THESE SPACES (NARA use only)

JOB NUMBER
 NI-271-92-1

DATE RECEIVED
 8-10-92

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE
 11-4-94

ARCHIVIST OF THE UNITED STATES
 Credy Huskamp Peterson

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 14 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE 8-7-92	SIGNATURE OF AGENCY REPRESENTATIVE <i>Cheryl A. Kalin</i>	TITLE DOL Departmental Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p><u>OFFICE OF WORKERS' COMPENSATION PROGRAMS (OWCP)</u></p> <p>The Office of Workers' Compensation Programs predecessor organization, the Bureau of Employees' Compensation (BEC), administers legislation which dates back to 1916 (the Federal Employees' Compensation Act), Department of Labor involvement in the field of workers' compensation began in 1950 when the BEC was transferred to the Department. Since that time, numerous reorganizations have taken place and current workers' compensation programs are administered by OWCP in the Department's Employment Standards Administration. OWCP is headed by a Director, who reports directly to the Assistant Secretary for Employment Standards.</p> <p>The Office of Workers' Compensation Programs (OWCP) administers programs which provide benefits to workers suffering personal injuries or contracting job-related illness for Federal Government workers under the Federal Employees' Compensation Act and other persons performing work for the United States at the time of their injury under related legislation; for Longshore and Harbor Workers; for employees of private industry in the District of Columbia under the</p>		

Copies sent to Agency, NSR, NAW, NNT, NSX, NCF, NIA 8/10/94

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NO.

PAGE

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7. ITEM NO	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p>District of Columbia Compensation Act; for workers on defense bases or on public works contracts outside the United States under the Defense Base Act; for workers under the Nonappropriated Fund Instrumentalities Act; for workers on the U.S. continental shelf under the Outer Continental Shelf Lands Act; for coal mine workers under the Federal Coal Mine Health and Safety Act; and for other legislation related to the above statutes.</p> <p>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 remains as described.</p> <p>This schedule modifies schedule NCl-271-80-1. and schedule N1-271-86-1.</p>		

OFFICE OF THE DIRECTOR

1. OWCP Directives. 1964 - present. Arranged in numerical order by year. Annual volume: 1/2 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. Offer to NARA when 25 years old, in 10-year blocks. NCI-271-80-1, Item 1a.

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

DISPOSITION: Break file at end of fiscal year. Destroy when superseded or obsolete. (GRS-16a). NCI-271-80-1, Item 1b. (Changed)

2. Legislative and Legal Subject Files.

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

DISPOSITION: Break file at end fiscal year. Destroy when no longer needed for reference. Screen annually. These records may not be transferred to a records center. NCI-271-80-1, Item 4.

b. Legal opinions and determinations rendered by ^{DOL Solicitor} ~~SOE~~ and other judiciary concerns regarding OWCP laws, rules and/or regulations.

DISPOSITION: Break file at end of fiscal year. Destroy when 7 years old. (New)

DIVISION OF PLANNING, POLICY AND STANDARDS

3. Work Measurement ^{Reports} ~~Reports~~ in Director's Office. Various documents related to reports on productivity, work measurement and related items such as performance standards for various OWCP offices, NO and field.

DISPOSITION: Break file at end of fiscal year. Destroy when 10 years old. NCI-271-80-1, Item 8 (Changed)

4. 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, including:

4. Published Studies cont.

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

Disposition: PERMANENT. Transfer to NARA in 2000. One cubic foot on hand. Arranged by date.

- b. 1994 to present. OWCP reports.

Disposition: PERMANENT. Transfer to NARA in 10 year blocks when 5 years old. (Example 1994-2003 transfer to NARA in 2008.) Arranged by date. Annual accumulation less than one cubic foot. (change)

DIVISION OF FEDERAL EMPLOYEES' COMPENSATION NATIONAL OFFICE

Item
No.5. FECA Bulletins and Circulars

Bulletins consists of directives concerning policy changes and clarifications within DFEC, while circulars consist of information pertaining to changes in FECA forms, actions taken by other Federal agencies which pertain to FECA claims, actions by the Employees Compensation Appeals Board, and internal matters such as statistical reporting and travel. Filing scheme is numerical, broken by Fiscal Year.

a. Bulletins. Disposition: Permanent. Break file at end of Fiscal Year. Retire to ~~PARC~~^{FRC} when 5 years old. Transfer to NARA in 5 year blocks when 20 years old. (~~NC1-271-80-1, Item 1b~~) (Changed)

b. Circulars. Destroy 5 years after superseded or obsolete. (~~NC1-271-80-1, Item 1b~~) ~~CRS # 116~~

(New)

6. Training Records

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

Break file at end of Calendar Year. Transfer to ~~PARC~~^{FRC} when 5 calendar years old. Destroy when 10 years old. (New)

7. Listings of Payments to FECA Beneficiaries-PRIVACY RESTRICTIONS - YES
Reports prepared by DFEC listing the case file numbers, names, and other relevant data for FECA claimants, summarizing total costs paid during the past year on behalf of that individual.

a. Hard copy reports consist of computer printouts generated from data stored in the data base which summarizes costs for individual cases under FECA during the chargeback year (July 1 through June 30).

Destroy when six years, three months old. (NC1-271-80-1, item 13) (Changed)

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

b. Magnetic media information consists of 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.

The information maintained in the data base (master file) for this system is 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. **PRIVACY RESTRICTIONS - YES DELETE ELECTRONIC INFORMATION WHEN NO LONGER NEEDED!**

*9-4-94
per telephone
conversations
with Jean
Sodlawie
JEB*

Records retention and the retirement schedule for this form of information is as follows:

~~- The active, on-line Case Management File contains information pertaining to all cases located in the district offices or on loan to the National Office. When the district office reports that a case file is retired to the FARC, in accordance with NC1-271-80-1, item 14, the information pertaining to this case will be deleted from the data base. (New)~~

*GRS
23/8*

- The Automated Compensation Payment System contains information pertaining to payments for wage loss, permanent partial impairment, death benefits, and attendant allowance for all cases. Payments 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 (~~hard~~ ^{TABE} copy only). Payment history for those cases which have been destroyed will be deleted from the data base, consistent with the terms of the vendor contract. (New)

*9-10-94
per telephone
conversations with
Jean Sodlawie
JEB*

- 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 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. A hard copy payment history will be kept for six years, three months after payment is authorized, then will be destroyed. (New)

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

Privacy Act Systems of Record DOL/Gov't.-wide 1 for Item 7.

FIELD OFFICES (FECA)

8. Bills Paid for Medical and Health Services -PRIVACY RESTRICTIONS - YES
 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.

If bill and associated batch payment form are microfilmed,

- a. Destroy hard copy when film has been verified.
- b. Retain the microfilm in the district office. Destroy microfilm 6 years, 3 months after bill is paid. (NC1-271-80-1, item 16) (No change)

If bill and associated batch payment form are not microfilmed,

- c. Retain bill and CA-D-9 for two years in office, then transfer to ~~PARC~~. Destroy ~~6~~ years, 3 months after ~~trans-~~ bill ~~for to PARC.~~ ((NC1-271-80-1, item 16c) ~~(changed)~~ *is paid.*)

Privacy Act Systems of Record DOL/Gov't. wide 1

*Supersedes NC1-271-80-1,
item 16*

DIVISION OF LONGSHORE AND HARBOR WORKERS' COMPENSATION
NATIONAL OFFICE

Part I - Administrative Management Files

9. DLHWC Directives. Arranged numerically. (Does not include Longshore and Harbor Workers' Compensation Act (LHWCA) Procedure Manual).

a. Directive(s) concerning policies, instructions and guidance within DLHWC (Bulletins, Circulars, Transmittals, etc.)

Disposition: Permanent. Break file at end of calendar year. Retire to inactive records to FRC when 5 years old. Transfer to NARA in 5 year blocks when the most recent record is 20 years old. Amount on hand: 4 cubic feet. Annual volume: 1/2 cubic foot. (New)

~~b. Directives concerning administrative matters, providing information or making announcements.~~

~~Break file at end of calendar year.~~

~~Disposition: Destroy when superseded or obsolete.
(GRS 16 Item 1a)~~

10. Speeches, addresses and comments made by DLHWC officials to the public (N.O. and field). As an example, speeches given before the Industrial Claims Association (ICA), the Risk and Insurance Management Society (RIM), the National Association of Stevedores, and the annual Loyola School of Law Continuing Legal Education Seminar.

Destroy when 10 years old or when no longer needed.
~~Disposition: Permanent. Break file at end of calendar year. Textual records to NARA in 5 calendar year blocks when the most recent record is 20 years. Annual volume: 1 cubic foot. Filing scheme: Subject. Amount on hand: 1 cubic foot.
(New)~~

11. Training Records

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

Disposition: ~~Permanent.~~ Break file at end of calendar year. Transfer to FRC when three (3) calendar years old. Destroy when ten (10) years old. (New)

~~b. Training aids from other agencies or private institutions.~~

~~Disposition: Break file at end of calendar year. Destroy when obsolete or superseded.
(GRS 1 Item 29a {2}b)~~

PART II Branch of Operational Policies, Regulations and Procedures

12. DLHWC Internal Planning Records

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

Disposition: Break file at end of calendar year.
Transfer to FRC when three (3) calendar years old. Destroy when seven calendar years old. (New)

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

Disposition: Break file at end of calendar year.
Destroy when three (3) calendar years old. (New)

14. Quarterly Review and Analysis Reports/National Office Program Initiatives.

Disposition: Break file at end of calendar year.
Destroy when three (3) calendar years old. (New)

15. Annual Reports

Copies of DLHWC feeder reports submitted to ESA and/or DOL.

Disposition: Break file at end of calendar year.
Destroy when three (3) calendar years old. (New)

16. Federal Register Publication

DLHWC Regulations (Proposed and Final)

Documents/correspondence related to DLHWC regulations published in the Federal Register including meetings, hearings, transcripts, congressional, constituency and/or public comments.

Filing scheme: Subject/chronological. Amount on hand: 1/3 cubic foot. Bi-annual growth: 1/4 cubic foot.

Disposition: ~~Permanent.~~ Break file at end of calendar year. Retire to FRC five years after final notice has been published in the Federal Register. ~~Transfer to NARA in five calendar year blocks when the most recent record is 20 years old.~~ Destroy when 10 years old. (New)

17. Longshore (DLHWC) Procedure Manual

Contains policies and procedures to be followed by DLHWC personnel in administering Longshore Act and its extensions.

Break file at end of calendar year.

Disposition: Permanent. Retire initial manual assurance and subsequent revisions and supplements to NARA in five calendar year blocks when the most recent record is 20 years old. Filing scheme subject/chronological. Amount on hand one complete set. Bi-annual growth: 1/4 cubic foot. (New)

18. Accountability Review Reports

Documents/correspondence related to reviews of program operations, Quality Review and Analysis Records, Accountability Review and background information.

Break file at end of calendar year.

Disposition: Destroy two (2) years after end of calendar year, or when no longer needed in current operations, whichever is earlier. (New)

PART III Branch of Financial Management and Insurance

19. Awards from the Special Fund - 08(f)-PRIVACY RESTRICTIONS - YES

Case files pertaining to awards falling within the provisions of Section 8(f) of the Longshore and Harbor Workers' Compensation Act.

Disposition: Transfer to closed files after last payment is made. Break closed files annually at end of calendar year. Transfer to FRC when two years old, destroy when seven years old. *NCI-271-80-1, Item 25*

Privacy Act System of Record DOL/ESA-24

~~(new)~~

~~20. Records of Rehabilitation Payments made in National Office.~~

~~Voucher and Schedule of Payments Standard Form-1166.~~

~~PRIVACY RESTRICTIONS - YES~~

~~Disposition: Destroy six (6) years and three (3) months after period covered by report. *NCI-271-80-1, Item 26. (Changed)*~~

~~Privacy Act Systems of Record DOL/ESA-15 and 24. (GRS 6 Item 1.a) oo~~

21. Longshore SPECIAL FUND System - PRIVACY RESTRICTIONS - YES

The Special Fund system provides total support in the National Office for the benefit disbursement and accounting 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 (approximately 5500) being compensated by the Special Fund. This necessitates the generation of two (2) 9-track computer tapes for Treasury; one for regular payments and the other for EFT payments. These tapes are returned by Treasury for reuse. The assessment system calculates each insurance carrier's and self-insured employer's assessment for the Special Fund and payments are recorded as received.

(New)

a. Case File Documents (Forms)

Input and output forms provided by this system and pertaining to the individual claimant are retained as part of the official case file. File is destroyed seven (7) years after end of calendar year in which last payment was made and case closed. This is a DLHWC policy with respect to any legal documentation derived by the program.

b. Hard Copy Reports

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

- a. Statement of Differences (bi-weekly)
- b. Disbursement Totals (bi-weekly)
- c. Overpayment Recovery Report (bi-weekly).
- d. Statement of Funds (monthly)
- e. Disbursement Schedule & Error Reports (quarterly)
- f. Carrier/Self-Insured LS-513 Reports (semi-annual)
- g. Accounts Receivable Report (annual)
- h. Disbursement Summary (annual)
- i. Schedule of Cancelled Checks FS-1098 (as requested)

Disposition: Destroy when no longer needed for reference and/or current business.

c. Magnetic Media Information

The information maintained in the database (master file) for this system is backed up nightly onto magnetic tape as part of the production processing cycle. The master file is continuously updated. Record retention and the retirement schedule for this form of information is as follows:

- The active (online) database (master file) contains information on all claimants; those case files that are active and those that have been closed.

- The records of claimant case files closed after two (2) years from date of last payment, and transferred to FRC, will be removed from the database (master file) and placed on magnetic tape. *The records will then be deleted from the magnetic tape after expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later. (*NCl-271-80-1, Item 25), Privacy Act Systems of Record ESA/ESA-24

Part IV Division of Longshore and Harbor Workers' Compensation

District Offices

GRS 23/8

28. The Longshore Case Management System (LCMS) - PRIVACY RESTRICTIONS - YES

The Longshore Case Management System (LCMS) operates on standalone minicomputer systems in each of the thirteen (13) district offices. These systems provide case tracking and transaction record keeping on all claims received by each office and furnishes a means of reviewing each claim as it proceeds through the administrative review and adjudicative process. The systems also provides basic statistical information and includes a word processing function for use is generating correspondence to the various parties involved in specific cases.

(New)

a. Case File Documents (Forms)

Input and output forms provided by this system and pertaining to the individual claimant are used as part of the official case file. Case file retention is determined by the period authorized for the particular type claim and its disposable hard copy file.

b. Hard Copy Reports

Various hard copy reports are system generated on an as need basis. These include:

- a. Short and long case file listing.
- b. Short and long insurance carrier listings.
- c. Short and long employer listings.
- d. Short and long attorney listings.
- e. Case labels
- f. Case Postcards (Notification to parties when case initially created.

Disposition: Destroy when no longer needed for reference and/or current business.

c. Magnetic Media Information

The information maintained in the database (master file) for each district office is backed up nightly onto magnetic tape as part of the production processing cycle. The master file is continuously updated. Record retention and the retirement schedule for this form of information is as follows:

- The active (online) database (master file) contains information on all claimants; those case files that are active and those that have been closed.

Disposition:

- The records of claimant case files closed and transferred to the FRC will be removed from the database (master file) and placed on magnetic tape. *The records will then be deleted from the magnetic tape after expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later. (*NCl-271-80-1, Item 29) Privacy Act Systems of Record DOL/ESA-15

ITEM DESCRIPTION OF ITEM & PROPOSED DISPOSITION

23. Magnetic Media Information: The Black Lung Automated Support Package (ASP). The 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. The information is backed up each night onto magnetic tape as part of the processing cycle.

The ASP is continuously updated by the Division of Coal Mine Workers' Compensation staff. When a black lung claim is received or an action is taken on a claim, the claims examiner records it on a Form CM-1084 (Data Collection Form for Diary Action, Claim Data and Changes). The form is passed to the data transcriber, who keys the data into the system. The data updates the information about the claim in ASP, and will affect the statistics appearing on our Management Information System (MIS) reports. Similarly, Form CM-1085 (Folder Tracking Slip) is used when black lung claims files are transferred from one office to another. After entry, these input forms are retained in the black lung claim files.

The ASP consists of the following six major data files: Claimant Master; Benefit Master; Provider Master; Disability Benefits Processing System (DBPS) Payment History; Medical Full History; and Treasury File.

a. CLAIMANT MASTER FILE. As part of the Black Lung Automated Support Package (ASP), the Claimant Master File is used to document the receipt of applications for Black Lung benefits beginning as early as 1974. Data includes information regarding claimants, case status, and location.

INCLUSIVE DATES: 1974 and thereafter.

PRIVACY ACT CONSIDERATIONS: Yes. PRIVACY ACT ISSUANCES, 1991 Comp., Volume II, pgs. 431-432.

RESTRICTIONS: Yes. Pursuant to FOIA 5 U.S.C. 552 6B b6 exemption, the agency requests that the data be withheld for 90 years from date of each cutoff.e

CURRENT VOLUME: Approximately 4 Reels of Magnetic Tape.

DISPOSITION: Permanent. Cutoff every 10 years and transfer copy to the National Archives. Transfer copy of 1974 through 1992 data immediately to the National Archives.

b. ASP CLAIMANT MASTER FILE DOCUMENTATION. System specifications, file specifications, copy member layout, and

record layouts.

INCLUSIVE DATES: 1974 and thereafter.

DISPOSITION: Permanent. Transfer copy of documentation with datasets. Transfer updates and changes every 10 years with any subsequent transfer of the datasets.

c. BENEFIT MASTER FILE. As part of the Black Lung Automated Support Package (ASP), the Benefit Master File is used to document each applicant approved or denied for Black Lung benefits. Data includes information describing the authorized benefits and denials.

INCLUSIVE DATES: 1974 and thereafter.

PRIVACY ACT CONSIDERATIONS: Yes. PRIVACY ACT ISSUANCES, 1991 Comp., Volume II, pgs. 431-432.

RESTRICTIONS: Yes. Pursuant to FOIA 5 U.S.C. 552 6B b6 exemption, the agency requests that the data be withheld for 90 years from date of each cutoff.

CURRENT VOLUME: Approximately 4 Reels of Magnetic Tape.

DISPOSITION: Permanent. Cutoff every 10 years and transfer copy to the National Archives. Transfer copy of 1974 through 1992 data immediately to the National Archives.

d. ASP BENEFIT MASTER FILE DOCUMENTATION. System specifications, file specifications, copy member layout, and record layouts.

INCLUSIVE DATES: 1974 and thereafter.

DISPOSITION: Permanent. Transfer copy of documentation with datasets. Transfer updates and changes every 10 years with any subsequent transfer of the datasets.

e. PROVIDER MASTER FILE. As part of the Black Lung Automated Support Package (ASP), the Provider Master File is used to document doctors and hospitals who are health care providers enrolled as program participants.

INCLUSIVE DATES: 1974 and thereafter.

PRIVACY ACT CONSIDERATIONS: Yes.

RESTRICTIONS: Yes.

CURRENT VOLUME: Approximately 1 Reel of Magnetic Tape.

DISPOSITION: Temporary. Delete when no longer needed for current business.

f. ASP PROVIDER MASTER FILE DOCUMENTATION. System specifications, file specifications, codebooks, record layouts, and user handbook (regardless of medium) relating to the files.

INCLUSIVE DATES: 1974 and thereafter.
DISPOSITION: Temporary. Destroy when cancelled, superseded or no longer needed for current business

g. DBPS PAYMENT HISTORY FILE. As part of the Black Lung Automated Support Package (ASP), the DBPS Payment History File is used to document every payment record since 1982

INCLUSIVE DATES: 1982 and thereafter.
PRIVACY ACT CONSIDERATION: Yes
RESTRICTIONS: Yes.
CURRENT VOLUME: Approximately 15 Reels of Magnetic Tape.

DISPOSITION: Temporary. Delete when no longer needed for current business.

h. ASP DBPS PAYMENT HISTORY FILE DOCUMENTATION. System specifications, file specifications, codebooks, record layouts, and user handbook (regardless of medium) relating to the files.

INCLUSIVE DATES: 1982 and thereafter.
DISPOSITION: Temporary. Destroy when cancelled, superseded or no longer needed for current business.

i. MEDICAL FULL HISTORY FILE. As part of the Black Lung Automated Support Package (ASP), the Medical Full History File is used to document medical procedures and medical bills paid for miners

INCLUSIVE DATES: 1974 and thereafter
PRIVACY ACT CONSIDERATION: Yes
RESTRICTION: Yes
CURRENT VOLUME: Approximately 38 Reels of Magnetic Tape.

DISPOSITION: Temporary. Delete when no longer needed for current business.

j. ASP MEDICAL FULL HISTORY FILE DOCUMENTATION. System specifications, file specifications, codebooks, record layouts, and user handbook (regardless of medium) relating to the files

INCLUSIVE DATES: 1974 and thereafter.
DISPOSITION: Temporary. Destroy when cancelled, superseded or no longer needed for current business.

k. TREASURY FILE. As part of the Black Lung Automated Support Package (ASP), the Treasury File is the actual file transmitted to the U. S. Treasury for payments from the Black Lung Trust Fund for medical bill payments, monthly compensation payments and supplemental payments

INCLUSIVE DATES: 1974 and thereafter.
PRIVACY ACT CONSIDERATIONS: Yes.
RESTRICTIONS: Yes.
CURRENT VOLUME: Approximately 1344 Reels of Magnetic Tape.
DISPOSITION: Temporary. Delete when no longer needed for current business.
1. ASP TREASURY FILE DOCUMENTATION. System specifications, file specifications, codebooks, record layouts, and user handbook (regardless of medium) relating to the filese
INCLUSIVE DATES: 1974 and thereafter.
DISPOSITION: Temporary. Destroy when cancelled, superseded or no longer needed for current business.

DIVISION OF COAL MINE WORKERS' COMPENSATION

23. Magnetic Media Information: The Black Lung Automated Support Package. 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. The information is backed up each night onto magnetic tape as part of the processing cycle. PRIVACY RESTRICTIONS - YES
Privacy Act Systems of Record DOL/ESA-30

The ASP is continuously updated by DCMWC staff. When a black lung claim is received or an action is taken on a claim, the claims examiner records it on a Form CM-1084 (Data Collection Form for Diary Action, Claim Data and Changes). The form is passed to the data transcriber, who keys the data into the system. The data updates the information about the claim in ASP, and will affect the statistics appearing on our Management Information System (MIS) reports. Similarly, Form CM-1085 (Folder Tracking Slip) is used when black lung claims files are transferred from one office to another. After entry, these input forms are retained in the black lung claim files.

Disposition: Retain all data for 10 years after the final action taken on a particular record. Then transfer the record to magnetic tape and send it to FRC. Destroy the record after it has been at the FRC for 7 years. (New)

24. ASP-Produced Printouts. The ASP is used to generate printouts which provide management with vital statistical and claim information. These printouts are produced on a daily, weekly, monthly, quarterly, yearly and on-request basis. See the attached Report Number UT-0-30 for a complete list of all printouts generated by the ASP. The schedule for their disposal depends on their production basis. PRIVACY RESTRICTIONS - YES

- a. Daily Reports. Destroy when no longer needed. (New)
- b. Weekly Reports. Destroy when no longer needed, which is almost always when the next week's report is received. (New)
- c. Monthly Reports. Within the Branch of Standards, Regulations, and Procedures, and also within the Branch of Claims and Review, the most widely used monthly reports are the MIS Reports. There are 17. They provide information on individual claims as well as statistical data on claims received, claims approved and denied, and several workloads intrinsic to the processing of black lung claims. Photocopies of the first page of each of these printouts are attached.

National Office

National Office and Field

Disposition: Except for MISo# 17b and # 20, retain all Fiscal and Calendar year end reports for five years. Retain all others for one year. Destroy at end of retention period. Retain MIS #17b and MIS # 20 for one year, then destroy. (New)

The ASP also produces printouts from its Black Lung Accounting System (BLAS) and from its Medical Bill Payment System (MBPS) which are widely used in the Branch of Accountability and Enforcement and the Branch of Systems Management and Support. These printouts provide management with data on medical bills received and processed monthly and medical benefit expenditures, accounting, and accounts receivable.

Disposition: Retain all Fiscal and Calendar Year end report for five years. Retain all others for one year. Destroy at end of retention period. (New)

d. Quarterly Reports. Disposition: Retain for 5 years, then destroy (New)

e. Yearly Reports. Disposition: Retain for 5 years, then destroy (New)

f. On Request Reports. Disposition: Retain for one year, then destroy (New)

g. Ad Hoc Reports. ASP can be used to extract specified data for one-time projects. Disposition: Retain for 5 years, then destroy (New) Privacy Act Systems of Record DOL/ESA-30 for Item 24.

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Other Printouts Used by DCMWC. These include MBPS-04 and MBPS 35-40 (medical bill payment summaries), which is generated by ASP, and the FAADS report (benefit expenditures by county) which is sent to DCMWC from OMAP. PRIVACY RESTRICTIONS - YES

Disposition: Retain for 5 years, then destroy. (New)

PRIVACY ACT RESTRICTIONS: YES, Privacy Act Systems of Record DOL/ESA-30

26. X-Ray Films. Chest x-ray films and corresponding reports (interpretations) are submitted as evidence in black lung claims. The reports are filed in the claimants' black lung claim files (see item No. 49, Schedule Number NCI-271-86-1, for the retention schedule of black lung claim files). The actual films are kept in manila jackets and filed separately, in order by the miners' SSNs.

(a) For x-rays associated with approved claims, retain the x-ray films in the DCMWC office throughout the life of the beneficiary and as long as there are qualified dependents. The claim then is closed and the file transferred to the FRC. Transfer the x-ray films to the FRC when the claim is closed. Destroy 10 years after closing of the claim file.

(b) For x-rays associated with denied claims, retain the films in the DCMWC office for 2 years after the claim is closed, then transfer to the FRC. Destroy ~~15~~ ³⁰ years after closing of the claim file.

*C/S
8/4/94*

Note: Transfer only DOL-authorized x-ray films to the FRC. Borrowed x-ray films shall be kept in the DCMWC office until the claim has been closed. If the medical provider then requests the x-ray film, return it. Otherwise, all borrowed films must be returned to the provider one year after final adjudication and the claim is closed. (Changed) (NCL-271-80-1, Item 48) *Supersede*

PRIVACY ACT RESTRICTIONS YES PRIVACY ACT SYSTEMS OF RECORDS DGL/ESA-12

27e Payment Records.

Black Lung claims are paid by either the Black Lung Disability Trust Fund or by the Responsible Coal 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 Payment 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 diagnostic tests to determine if the miner has black lung disease or 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 the National Office.

Transfer determination bills in batches from the bill payment operation to FRC, after they have been paid. Destroy bill batches 15 years after payment.

(N1-271-86-1, Item 2a 1 and 2) Changed

b. Microfilm Copies of Determination Bills.

Rolls of microfilm of determination bills, numbered by the bill batches, are kept in the National Office for reference. ~~Transfer the microfilms to FRC 6 years and 3 months after payment.~~ Destroy ~~10 years after payments~~ (New) *when no longer needed. Records cannot be retired to FRC.* CPS
8/5/94

c. Batched Medical Treatment Bills.

A miner awarded black lung benefits by the Department of Labor is entitled to medical coverage for his black lung condition 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 miners and medical providers. Bills are batched (complete with batch control sheet), microfilmed, and the batch is placed in a folder.

When all bills in a batch have been finally processed (i.e., paid in full, partially paid, or denied), transfer the batch to FRC. Destroy bill batches 15 years after final processing of the bills. (N1-271-86-1, Item 2b.e) Changed

d. Microfilm Copies of Treatment Bills.

Rolls of microfilm of medical treatment bills are retained in the National Office. ~~Transfer to FRC 6 years and 3 months after the bills on the roll have been finally processed (i.e., paid in full, partially paid, or denied).~~ Destroy ~~10 years after processing~~ (New) *when no longer needed. Records cannot be retired to FRC.* CPS
8/5/94

e. Benefit Payments.

Awarded claimants are paid monthly benefits based on the criteria established by the Federal Coal Mine Health and Safety Act of 1969, as amended.

(i) Benefit Payments for Approved Trust Fund Claims. Retain fiscal records for the lifetime of the claimant and as long as there are qualified dependents. These records include the CM-1061, CM-1161, or CM-1261 payment input forms, copies of returned or cancelled checks, requests for check tracers, and associated information. After all actions are complete and the claim has been closed, transfer to FRC. Destroy 10 years after closing. (N1-271-86-1, Item 2ce1.) ~~Changed~~

(ii) Benefit Payments for Interim Pay Claims Finally Reversed to Denials. Retain fiscal records, including the CM-1061, CM-1161 or CM-1261 payment input forms, copies of returned or cancelled checks, requests for check tracer and associated information, for two years after the denial becomes final and the claim is closed, then transfer to FRC. Destroy 15 years after closure. (N1-271-86-1, Item 2ce2.) ~~Changed~~

Federal Employee Compensation Act

28.

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.

- a. Hard copy consists of report prepared by DFEC which lists the names, addresses, and tax identification numbers of all physicians who have been excluded at some point from receiving payment for services billed under FECA. If appropriate, also lists the beginning and ending dates of exclusion for payment.

Destroy when new report is generated.

- b. Correspondence file pertaining to excluded providers consists of copies of correspondence with the Director of DFEC† pertaining to the reasons for exclusion in cases initiated by DFEC. This may include letters to and from members of Congress, DFEC District Offices, attorneys, medical providers, and other government medical entitlement programs. Subject matter of such correspondence may include notification of violations, notification to the provider, and copies of appeals made in individual cases.

Disposition: File is retained in the office for three years after the debarment action is final and then transferred to the Federal Records Center, where it is destroyed thirty years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained for two years after the period of exclusion expires (or the individual is otherwise reinstated)q then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is finalo

- c. Magnetic media information consists of data in a separate file which is maintained in the National Office. 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 data base for this system is backed up weekly to magnetic tape.

Records retention and the retirement schedule for this information is as follows:

- The Excluded Provider File ^{item} contains information pertaining to all physicians who have been excluded for payment. Because the report also gives beginning and ending dates of exclusion, names and tax identification numbers of excluded providers are not removed from the list, 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.

(New)

Privacy Act Restrictions: Yes
PA Systems Number DOL/ESA-29

DIVISION OF LONGSHORE AND HARBOR WORKERS' COMPENSATION
NATIONAL OFFICE

29. Debarred Longshore Act Claimant Representatives' File:

Various documents related to individuals alleged to have violated the provisions of the Longshore and Harbor Workers' Compensation Act and its implementing regulations relating to representation of claimants/beneficiaries, those found to have committed such violations and who have been disqualified, and those who are investigated but not disqualified.

This may include information on activities relating to representation of claimants/beneficiaries, documents relating to the debarment of representatives under other Federal or state programs, billing, the representative's name and address, names and addresses of affected claimants/beneficiaries, copies of relevant documents obtained from claimant/beneficiary files, documentation related to the investigation of and/or hearing on the alleged violation of the Longshore Act and/or its regulations, including investigations conducted by the DOL Office of Inspector General, or other agencies, and copies of documents notifying the representative and other interested persons of the disqualification.

Since implementation of this system, the information collected for this file has been so minimal, there are no current plans for automation of the data. The data will be automated if and when warranted.

Disposition: Break file at the end of calendar year. File is retained in the office for three years after the debarment action is final and then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained two years after the period of exclusion expires (or the individual is otherwise reinstated) then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final.

Privacy Act Restrictions: Yes
PA Systems Number DOL/ESA-27

(New)

30. File of Physicians and Health Care Providers Excluded
Under the Longshore Act:

Reports which list all providers of medical goods and services, including physicians, hospitals, and providers of medical support services or supplies, considered for, or excluded from payment under the Longshore Act, 33 U.S.C. 907(c)◦

This may include materials concerning possible fraud or abuse which could lead to the exclusion and/or conviction of providers for fraudulent activities in connection with any Federal or state program; letters, memoranda, or other documents regarding the consideration of provider's exclusion, or documents obtained during investigations, hearings, and other administrative proceedings concerning exclusion. May also include copies of documents from claimant's file relating to medical care, treatment, and/or bills for such services.

Since implementation of this system, the information collected for this file has been so minimal, there are no current plans for automation of the data. The data will be automated if and when warranted.

Disposition: Break file at the end of calendar year. File is retained in the office for three years after the debarment action is final and then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained two years after the period of exclusion expires (or the individual is otherwise reinstated), then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final.

Privacy Act Restrictions: Yes
PA Systems Number DOL/ESA-28

(New)

Division of Coal Mine Workers' Compensation (DCMWC)

31. FCMSA 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 or claimant and as long as there are qualified dependents. Then close file after all actions are completed and retire to FRC. Destroy when 10 years old. Supersedes N1-271-86-1, item 1a. (no change)

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

Close file after denial becomes final and all actions are completed. Retire to FRC 2 years after closing. Destroy 30 years after closing. Supersedes N1-271-86-1, 1b. (change)