

## Request for Records Disposition Authority

Records Schedule Number DAA-0271-2017-0003  
Schedule Status Approved  
  
Agency or Establishment Office of Workers' Compensation Programs  
Record Group / Scheduling Group Records of the Office of Workers' Compensation Programs  
Records Schedule applies to Agency-wide  
Schedule Subject DIVISION OF FEDERAL EMPLOYEES' COMPENSATION  
NATIONAL AND DISTRICT OFFICES (FECA)  
  
Internal agency concurrences will be provided Yes

Background Information The Division of Federal Employees' Compensation (DFEC) has responsibility for administering the Federal Employees' Compensation Act, 5 U.S.C. 8101, by compensation coverage to federal and postal workers for employment-related injuries and occupational diseases. In addition, adjudicates new claims for benefits and manages ongoing cases; pays medical expenses and compensation benefits to injured workers and survivors; and helps injured employees return to work when they are medically able to do so.

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

Supersedes: N1-271-02-01 Items: 15, 15a-b, 16, 16a1-a2, 16b 18, 21, 21a2, 21/b2, 21c1-c2, 21d1-d2, 21e1-e2, 22, 22a-c, 24, 24a1-a3, 24b, 25a, 25b1-3, 25c-d, 27, 27a-c, 27/d1-2, 28, 28a-d, 29a-d, 30a-d. 32a-b

Obsoletes: N1-271-02-01 Items: 14, 17, 19, 20, 26, 31, 31a-d

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
17	1	16	0

### GAO Approval



## Outline of Records Schedule Items for DAA-0271-2017-0003

Sequence Number	
1	Compensation Case Files Reporting Lost Time and/or Death
1.1	Case Files Reporting Lost Time and/or Death Disposition Authority Number: DAA-0271-2017-0003-0001
1.2	New Item: Records Transcripts, Exhibits from H&R Formal Hearings Disposition Authority Number: DAA-0271-2017-0003-0002
1.3	X-Ray Files Disposition Authority Number: DAA-0271-2017-0003-0006
2	Compensation Case Files Reporting No Lost Time
2.1	Case Files Reporting No Lost Time Involving Medical Expenses Disposition Authority Number: DAA-0271-2017-0003-0003
2.2	Case Files Reporting No Lost Time Without Medical Expenses Disposition Authority Number: DAA-0271-2017-0003-0004
2.3	New Item: Records Transcripts, Exhibits from H&R Formal Hearings Disposition Authority Number: DAA-0271-2017-0003-0005
3	Bills Paid for Medical and Health Services
3.1	New Item: Chargebacks Death Payment Disposition Authority Number: DAA-0271-2017-0003-0012
4	Listing of payments of FECA Beneficiaries
4.1	Master Files
4.1.1	Master Files: National Case Management Files Disposition Authority Number: DAA-0271-2017-0003-0013
4.2	Master Files: Automated Compensation Payment System Disposition Authority Number: DAA-0271-2017-0003-0014
5	Listing of Excluded Providers
5.1	Master File Disposition Authority Number: DAA-0271-2017-0003-0016
5.2	Documentation regarding Excluded Providers
5.2.1	Where the period of exclusion not a set period of time. Disposition Authority Number: DAA-0271-2017-0003-0017
5.2.2	Where the period of exclusion is a set period of time. Disposition Authority Number: DAA-0271-2017-0003-0018
6	Periodic Roll Management System (PRMS)
6.1	Master File Disposition Authority Number: DAA-0271-2017-0003-0019

7	Nurse/Rehabilitation Tracking System (NRTS)
7.1	Master File Disposition Authority Number: DAA-0271-2017-0003-0020
8	Physicians Directory System (PDS)
8.1	Master File Disposition Authority Number: DAA-0271-2017-0003-0021
9	New Item: Integrated Federal Employees Compensation System (IFECS)
9.1	New Item: Master File Disposition Authority Number: DAA-0271-2017-0003-0022
10	Program and Policy Bulletins
10.1	FECA Bulletins, Circulars, Transmittals, Procedure Manuals, and Program Memoranda Disposition Authority Number: DAA-0271-2017-0003-0010

## Records Schedule Items

Sequence Number	
1	<p><b>Compensation Case Files Reporting Lost Time and/or Death</b> 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.</p>
1.1	<p><b>Case Files Reporting Lost Time and/or Death</b> Disposition Authority Number      DAA-0271-2017-0003-0001</p> <p>Includes; claims, payment records, and any results of administrative determinations, resulting in lost time and/or death.</p> <p>Final Disposition      Temporary</p> <p>Item Status      Active</p> <p>Is this item media neutral?      Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?      Yes</p> <p>GRS or Superseded Authority Citation      N1-271-02-01 Item No. 15a N1-271-02-01 item No. 15b</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction      Cut off at the end of the fiscal year after case is closed.</p> <p>Transfer to Inactive Storage      Transfer to offsite storage 2 fiscal years after cut off or when no longer needed.</p> <p>Retention Period      Destroy 15 years after cutoff.</p> <p><b>Additional Information</b></p> <p>GAO Approval      Not Required</p>
1.2	<p><b>New Item: Records Transcripts, Exhibits from H&amp;R Formal Hearings</b> Disposition Authority Number      DAA-0271-2017-0003-0002</p> <p>Includes; ECAB benefit reviews, litigation claims, H&amp;R decisions, appellate, motion for reconsideration, and federal awards files.</p>

1.3

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the fiscal year after case is closed.
Transfer to Inactive Storage	Transfer to offsite storage 2 fiscal years after cut off or when no longer needed.
Retention Period	Destroy 15 years after cutoff.
Additional Information	
GAO Approval	Not Required
X-Ray Files	
Disposition Authority Number	DAA-0271-2017-0003-0006
Includes, corresponding reports (interpretations), of evidence from medical providers in FECA claims.	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	N1-271-02-01 Item No. 18
Disposition Instruction	
Retention Period	Return to sender after the x-ray serves its purpose with OWCP.
Additional Information	
GAO Approval	Not Required



2.3

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-271-02-01 Item No. 16b
<b>Disposition Instruction</b>	
Retention Period	If no medical bills are received within 90 days after receipt of the report of injury, return the report of injury to employing agency.
<b>Additional Information</b>	
GAO Approval	Not Required
<b>New Item: Records Transcripts, Exhibits from H&amp;R Formal Hearings</b>	
Disposition Authority Number	DAA-0271-2017-0003-0005
<b>Includes, ECAB benefit reviews, litigation claims, H&amp;R decisions, appellate, motion for reconsideration, and federal awards files.</b>	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
<b>Disposition Instruction</b>	
Cutoff Instruction	Cut off at the end of the fiscal year after case is closed.
Transfer to Inactive Storage	Transfer to offsite storage 2 fiscal years after cut off or when no longer needed.
Retention Period	Destroy 15 years after cutoff.
<b>Additional Information</b>	
GAO Approval	Not Required



3	<b>Bills Paid for Medical and Health Services</b> 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.
3.1	<b>New Item: Chargebacks Death Payment</b> Disposition Authority Number      DAA-0271-2017-0003-0012  Includes, bills associated with chargeback death payments.  Final Disposition      Temporary Item Status      Active Is this item media neutral?      Yes Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes Do any of the records covered by this item exist as structured electronic data?      Yes  Disposition Instruction Cutoff Instruction      Cut off after chargebacks are closed. Transfer to Inactive Storage      Retire to FRC 2 fiscal years after closing. Retention Period      Destroy 15 fiscal years after close.  Additional Information GAO Approval      Not Required
4	<b>Listing of payments of FECA Beneficiaries</b> Case management actions taken in compensation case files involving medical expenses and lost time and/or death.
4.1	<b>Master Files</b> Contains data from 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.
4.1.1	<b>Master Files: National Case Management Files</b> Disposition Authority Number      DAA-0271-2017-0003-0013  National Case Management File tracks payments and creates case histories showing past benefits paid and recent actions taken in compensation case files lost time and/or death and no lost time claims. Case histories remain in the system after case file records are destroyed.

4.2	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-271-02-01 Item No. 25b1
	Disposition Instruction	
	Cutoff Instruction	Cutoff in fiscal year that case closes
	Retention Period	Destroy 30 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Master Files: Automated Compensation Payment System	
	Disposition Authority Number	DAA-0271-2017-0003-0014
	The Automated Compensation Payment System tracks information pertaining to payments for wage loss, permanent partial impairment, death benefits, and attendant allowance for all cases. Case history remains after case records are destroyed.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-271-02-01 Item No. 25b2
	Disposition Instruction	
	Cutoff Instruction	Cutoff in fiscal year when case closes
	Retention Period	Destroy 30 year(s) after cutoff

	<p><b>Additional Information</b></p> <p>GAO Approval Not Required</p> <p><b>5 Listing of Excluded Providers</b> 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.</p> <p><b>5.1 Master File</b> Disposition Authority Number DAA-0271-2017-0003-0016  Includes the names, addresses, tax identification numbers and effective dates of all physicians who have been excluded from receiving payment for services billed under FECA.  Final Disposition Temporary Item Status Active Is this item media neutral? Yes Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes Do any of the records covered by this item exist as structured electronic data? Yes GRS or Superseded Authority Citation N1-271-02-01 Item No. 27b  <b>Disposition Instruction</b> Retention Period Destroy after system is replaced and data is migrated to a successor system, or when no longer needed.  <b>Additional Information</b> GAO Approval Not Required</p> <p><b>5.2 Documentation regarding Excluded Providers</b> A correspondence file pertaining to in-house exclusions includes 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.</p> <p><b>5.2.1 Where the period of exclusion not a set period of time.</b> Disposition Authority Number DAA-0271-2017-0003-0017</p>
--	---

5.2.2	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-271-02-01 Item No. 27d1
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal 2 year after debarment final action.
	Transfer to Inactive Storage	Transfer to FRC 3 years after cut off.
	Retention Period	Destroy 30 years after cut off.
	Additional Information	
	GAO Approval	Not Required
	Where the period of exclusion is a set period of time.	
	Disposition Authority Number	DAA-0271-2017-0003-0018
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-271-02-01 Item No. 27d2
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of fiscal year two years after the period of exclusion expires or the individual is otherwise reinstated.

	Transfer to Inactive Storage	Transfer to the FRC 2 years after cut off.
	Retention Period	Destroyed 30 years after cut off.
	<b>Additional Information</b>	
	GAO Approval	Not Required
6	<b>Periodic Roll Management System (PRMS)</b>	
	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 and provides a history of case actions..	
6.1	<b>Master File</b>	
	Disposition Authority Number	DAA-0271-2017-0003-0019
	Includes reports on injury, claims for compensation, medical reports and various other documents related to individual claims for compensation.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-271-02-01 Item No. 28b
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff in fiscal year when case closes
	Retention Period	Destroy 30 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
7	<b>Nurse/Rehabilitation Tracking System (NRTS)</b>	
	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.	
7.1	<b>Master File</b>	

Disposition Authority Number **DAA-0271-2017-0003-0020**

**Includes Nurse and Counselor status reports related to individual claims for compensation.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

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

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

GRS or Superseded Authority Citation **N1-271-02-01 Item No. 29b**

#### Disposition Instruction

Cutoff Instruction **Cutoff in fiscal year in which case closes**

Retention Period **Destroy 30 year(s) after cutoff**

#### Additional Information

GAO Approval **Not Required**

#### 8 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.

#### 8.4 Master File

Disposition Authority Number **DAA-0271-2017-0003-0021**

**Includes and tracks scheduling of independent medical examinations information on physician specialties and addresses the office's usage of physicians in specific case files, and a log of scheduled appointments.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

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

	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-271-02-01 Item No. 30b
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually
	Retention Period	Destroy 30 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
9	New Item: Integrated Federal Employees Compensation System (IFECS) Integrated Federal Employees Compensation System, is an imaging system that contains 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 or no lost time and/or death.	
9.1	New Item: Master File	
	Disposition Authority Number	DAA-0271-2017-0003-0022
	Includes reports, claims, payment records, and any results of administrative determinations or court rulings, relating to injuries claims resulting in lost time and/or death, or no lost time claims.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year after case is closed.
	Retention Period	Destroy 15 years after cutoff.
	Additional Information	
	GAO Approval	Not Required

10	<b>Program and Policy Bulletins</b> Bulletins, manuals and procedural guidance and transmittals documenting OWCP policy																				
10.1	<b>FECA Bulletins, Circulars, Transmittals, Procedure Manuals, and Program Memoranda</b> Disposition Authority Number <b>DAA-0271-2017-0003-0010</b> Includes Bulletins that 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. Program Memorandums contains policies concerning claims under FECA. Filing scheme is numerical. <table border="0" style="width: 100%;"> <tr> <td style="width: 40%;">Final Disposition</td> <td>Permanent</td> </tr> <tr> <td>Item Status</td> <td>Active</td> </tr> <tr> <td>Is this item media neutral?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td> <td>Yes</td> </tr> <tr> <td>GRS or Superseded Authority Citation</td> <td>           N1-271-02-01 Item No. 22a            N1-271-02-01 Item No. 22b            N1-271-02-01 Item No. 22c         </td> </tr> </table> <b>Disposition Instruction</b> <table border="0" style="width: 100%;"> <tr> <td style="width: 40%;">Cutoff Instruction</td> <td>Cut off file at end of fiscal year when superseded or obsolete.</td> </tr> <tr> <td>Transfer to the National Archives for Accessioning</td> <td>Transfer to the National Archives in 10 year blocks 20 year(s) after block closes</td> </tr> </table> <b>Additional Information</b> <table border="0" style="width: 100%;"> <tr> <td style="width: 40%;">What will be the date span of the initial transfer of records to the National Archives?</td> <td>From 2017 To 2027</td> </tr> <tr> <td>How frequently will your agency transfer these records to the National Archives?</td> <td>Every 10 Years</td> </tr> </table>	Final Disposition	Permanent	Item Status	Active	Is this item media neutral?	Yes	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes	Do any of the records covered by this item exist as structured electronic data?	Yes	GRS or Superseded Authority Citation	N1-271-02-01 Item No. 22a N1-271-02-01 Item No. 22b N1-271-02-01 Item No. 22c	Cutoff Instruction	Cut off file at end of fiscal year when superseded or obsolete.	Transfer to the National Archives for Accessioning	Transfer to the National Archives in 10 year blocks 20 year(s) after block closes	What will be the date span of the initial transfer of records to the National Archives?	From 2017 To 2027	How frequently will your agency transfer these records to the National Archives?	Every 10 Years
Final Disposition	Permanent																				
Item Status	Active																				
Is this item media neutral?	Yes																				
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes																				
Do any of the records covered by this item exist as structured electronic data?	Yes																				
GRS or Superseded Authority Citation	N1-271-02-01 Item No. 22a N1-271-02-01 Item No. 22b N1-271-02-01 Item No. 22c																				
Cutoff Instruction	Cut off file at end of fiscal year when superseded or obsolete.																				
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 10 year blocks 20 year(s) after block closes																				
What will be the date span of the initial transfer of records to the National Archives?	From 2017 To 2027																				
How frequently will your agency transfer these records to the National Archives?	Every 10 Years																				



	Estimated Current Volume	Annual Accumulation
Electronic/Digital	6 MB	3 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
03/06/2018	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer.	Office of the Assistant Secretary for Administration and Management - Business Operations Center
06/01/2018	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/03/2018	Submit For Certification	Yoon Ferguson	Lead Program Analyst	Office of Workers' Compensation Programs - Office of Workers' Compensation Programs
07/11/2018	Certify	Tanisha Bynum-Frazier	Supervisory Program Analyst	Department of Labor - OASAM
09/25/2019	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/30/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/01/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
10/02/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist