

Request for Records Disposition Authority

Records Schedule Number DAA-0271-2017-0004
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 COAL MINeworkERS' COMPENSATION (DCMWC)
Internal agency concurrences will be provided Yes

Background Information The Division of Coal Mine Workers' Compensation (DCMWC) has responsibility for administer claims filed under the Black Lung Benefits Act. The Act provides compensation to coal miners who are totally disabled by pneumoconiosis arising out of coal mine employment, and to survivors of coal miners whose deaths are attributable to the disease. We administer benefits paid from the Black Lung Disability Trust Fund and by responsible coal mine operators under Part C of the Act, and benefits paid under Part B of the Act, to ensure that all payments are accurate and timely. In addition to monthly compensation, we provide eligible miners with medical coverage for the treatment of lung diseases related to pneumoconiosis. We identify and work with coal mine operators and insurers so that liability for payment of benefits is properly assigned.

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

Supersedes: N1-271-02-01 Items: 33/a-b, 34, 35/a, 36/a1, 36/b, 37, 38/a, 39, 40, 41/a2a, 41/c, 41/d1, 42/a1-3, 42/b1-7, 42/c, 43

Obsoletes: N1-271-02-01 Items: 35/b, 36/a2, 38/b 41/a1, 41/a2b, 41/b1, 41/b2, 41/d2, 44/a-b

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
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18	2	16	0
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GAO Approval

Outline of Records Schedule Items for DAA-0271-2017-0004

Sequence Number	
1	DCMWC Case Files
1.1	Section (a) Case Files Approved Claims Disposition Authority Number: DAA-0271-2017-0004-0001
1.2	Section (b) Case Files Denied Claims Disposition Authority Number: DAA-0271-2017-0004-0002
1.3	New Item: Approved Claims: Records, Transcripts and/or Exhibits from Administrative Law Judge, Benefits Review Board, Court of Appeals and/or Supreme Court Proceedings Disposition Authority Number: DAA-0271-2017-0004-0003
1.4	New Item: Denied Claims: Records, Transcripts and/or Exhibits from Administrative Law Judge, Benefits Review Board, Court of Appeals and/or Supreme Court Proceedings Disposition Authority Number: DAA-0271-2017-0004-0004
2	X-Ray Films Disposition Authority Number: DAA-0271-2017-0004-0005
3	Black Lung Bulletins, Circulars, Procedure Manuals, and Transmittals Disposition Authority Number: DAA-0271-2017-0004-0006
4	Responsible Operator Files
4.1	Responsible Operator Cards Disposition Authority Number: DAA-0271-2017-0004-0007
4.2	Legal Identification Files Disposition Authority Number: DAA-0271-2017-0004-0008
5	Self-Insurer Files Disposition Authority Number: DAA-0271-2017-0004-0009
6	Records of Notice of Intent to File Disposition Authority Number: DAA-0271-2017-0004-0010
7	Section 428 Claims Disposition Authority Number: DAA-0271-2017-0004-0011
8	General Correspondence Disposition Authority Number: DAA-0271-2017-0004-0012
9	Payment Records
9.1	Medical Determination Bills Disposition Authority Number: DAA-0271-2017-0004-0013
9.2	Copies of Treatment Bills Disposition Authority Number: DAA-0271-2017-0004-0014

9.3	Benefit Payment Input Forms
9.3.1	Benefit Payments for Approved Trust Fund Claims Disposition Authority Number: DAA-0271-2017-0004-0015
9.3.2	New Item: Benefit Payments for Interim Pay Claims Finally Reversed to Denials Disposition Authority Number: DAA-0271-2017-0004-0016
10	Electronic Media Information
10.1	Master Files Disposition Authority Number: DAA-0271-2017-0004-0017
11	Other Printouts Used by DCMWC Disposition Authority Number: DAA-0271-2017-0004-0018

Records Schedule Items

Sequence Number	
1	<p>DCMWC Case Files Files contain claims and related materials, including all correspondence resulting from claims for compensation and medical benefits under the Federal Coal Mine Health and Safety Act of 1969, as amended.</p>
1.1	<p>Section (a) Case Files Approved Claims</p> <p>Disposition Authority Number DAA-0271-2017-0004-0001</p> <p>Includes approved claims and related materials, including all correspondence resulting from claims for compensation and medical benefits.</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.33/a</p> <p>Disposition Instruction</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 10 years after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.2	<p>Section (b) Case Files Denied Claims</p> <p>Disposition Authority Number DAA-0271-2017-0004-0002</p> <p>Includes denied claims and related materials, including all correspondence resulting from claims for compensation and medical benefits.</p> <p>Final Disposition Temporary</p>

1.3	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.33/b
	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 30 years after cutoff.
	Additional Information	
	GAO Approval	Not Required
	New Item: Approved Claims: Records, Transcripts and/or Exhibits from Administrative Law Judge, Benefits Review Board, Court of Appeals and/or Supreme Court Proceedings	
	Disposition Authority Number	DAA-0271-2017-0004-0003
	Includes adjudication or approval by either, Administrative Law Judge, Benefits Review Board, Court of Appeals and/or Supreme Court and transcripts, and/or exhibits, and related materials, including all correspondence resulting from claims for compensation and medical benefits.	
	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	

1.4	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 10 years after cutoff.
	Additional Information	
	GAO Approval	Not Required
	New Item: Denied Claims: Records, Transcripts and/or Exhibits from Administrative Law Judge, Benefits Review Board, Court of Appeals and/or Supreme Court Proceedings	
	Disposition Authority Number	DAA-0271-2017-0004-0004
	Includes adjudication or denied by either, Administrative Law Judge, Benefits Review Board, Court of Appeals and/or Supreme Court and transcripts, and/or exhibits, and related materials, including all correspondence resulting from claims for compensation and medical benefits.	
	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
2	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 30 years after cutoff.
	Additional Information	
	GAO Approval	Not Required
	X-Ray Films	
	Disposition Authority Number	DAA-0271-2017-0004-0005

Includes chest x-rays and corresponding reports (interpretations) that were submitted as evidence in black lung claims. The reports are filed in claimant black lung claim files.

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.34

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal after the claim is closed. Note: Transfer only DOL authorized x-rays to the FRC. Borrowed x-rays shall be kept in the DCMWC office until the claim is closed. If the medical provider then requests the x-ray, return it. Otherwise, all borrowed x-rays must be returned to the provider one fiscal year after final adjudication and the claim is closed.

Transfer to Inactive Storage Transfer to the FRC 2 fiscal years after cut off.

Retention Period Destroy 17 fiscal years after cut off.

Additional Information

GAO Approval Not Required

Black Lung Bulletins, Circulars, Procedure Manuals, and Transmittals

Disposition Authority Number DAA-0271-2017-0004-0006

Bulletins describe policy and procedure changes, announce special case adjudication projects, or provide programmatic guidance on topics relevant to administering the DCMWC. Circulars call attention to standing instructions or standards and announce items of informational value, such as changes in DCMWC forms, and internal matters like statistical reporting and travel. Procedure Manuals provide staff guidance on the application of DCMWC procedures, including file maintenance, case adjudication processes, and benefit assessment. Transmittals announce changes to the DCMWC Procedure Manual.

Final Disposition Permanent

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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.35/a

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year when superseded or obsolete.

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2010 To 2017

How frequently will your agency transfer these records to the National Archives? Unknown
Transfer frequency will be based on frequency of Bulletin changes.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	58 MB	8 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

4

Responsible Operator Files

Alphabetic card file of mine operators - Cards on all known mine operators (coal companies), plus cards confirming insurance for all operators who have procured insurance. These files are used as a source for determining responsibility for payment of black lung claims.

4.1

Responsible Operator Cards

Disposition Authority Number DAA-0271-2017-0004-0007

Includes cards on all known mine operators (coal companies), plus cards confirming insurance for all operators who have procured insurance.

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.36/a1

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal 25 years after the responsible operator file has closed.

Transfer to Inactive Storage Transfer to offsite storage 25 fiscal years after cut off or when no longer needed.

Retention Period Destroy when 50 fiscal years after cut off.

Additional Information

GAO Approval Not Required

4.2

Legal Identification Files

Disposition Authority Number DAA-0271-2017-0004-0008

This includes legal documents relating to the identification and status of corporate identities, plus records of determination of corporate responsibility for individual claims. Information is significant and necessary to establish mine operator's responsibility for black lung claims, often many years after actual employment with a particular operator has occurred.

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

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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.36/b

Disposition Instruction

Cutoff Instruction

Cut off at the end of the fiscal after the legal identification file has closed.

Transfer to Inactive Storage

Transfer to offsite storage 25 fiscal years after cut off or when no longer needed.

Retention Period

Destroy when 50 fiscal years after cut off.

Additional Information

GAO Approval

Not Required

Self-Insurer Files

Disposition Authority Number

DAA-0271-2017-0004-0009

These files are applications and other legal and corporate documentation pertaining to companies who request approval to become self-insurers. No differentiation is made in retention between approved and disapproved requests to self-insure, since such records are useful in showing the relationship of predecessor to successor operators in the determination of the responsible mine operator. Information is necessary to establish mine operator's responsibility for black lung claims, often many years after actual employment with a particular operator has occurred.

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.37

Disposition Instruction

Cutoff Instruction

Cut off at the end of the fiscal after the self-insurer file has closed.

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Transfer to Inactive Storage Transfer to offsite storage 25 fiscal years after cut off or when no longer needed.

Retention Period Destroy 50 fiscal years after cut off.

Additional Information

GAO Approval Not Required

Records of Notice of Intent to File

Disposition Authority Number DAA-0271-2017-0004-0010

Includes records of prospective claimants who indicate they intend to file a Black Lung claim within 6 months. Information obtained from prospective claimants is processed through the ASP and appears on the Claim Master screen. The record is retained for one year and then deleted because there is positive information on the Automated Support Package (ASP) system, that a valid claim was filed during that time, or that the prospective claimant failed to file a valid claim, as had been indicated.

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 re-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.38/a

Disposition Instruction

Cutoff Instruction Cut off after one fiscal year after entry or if no claim is filed.

Retention Period Destroy 1 fiscal year after cut off.

Additional Information

GAO Approval Not Required

7

Section 428 Claims

Disposition Authority Number DAA-0271-2017-0004-0011

Includes records of allegations that the claimant was discriminated against in his or her employment as a coal miner because of a pending or prospective claim for Black Lung benefits.

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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.39
Disposition Instruction	
Cutoff Instruction	Cut off 1 fiscal year after case is closed.
Transfer to Inactive Storage	Transfer to offsite storage 1 fiscal year after cut off.
Retention Period	Destroy 10 year(s) after cutoff
Additional Information	
GAO Approval	Not Required
General Correspondence	
Disposition Authority Number	DAA-0271-2017-0004-0012
Includes correspondence not related to individual claims, such as requests from the UMWA, coal companies, health groups and insurance companies are filed in the office of the DCMWC Director or District Director.	
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.40
Disposition Instruction	
Cutoff Instruction	Cut at the end of the fiscal year.

9	Retention Period	Destroy 3 fiscal years after cut off or when no longer needed.
	Additional Information	
	GAO Approval	Not Required
	Payment Records	
	Black Lung claims are paid by either the Black Lung Disability Trust Fund or the Responsible Coal Mine Operator (RO). The payment records retained by DCMWC will be for Trust Fund claims and contested RO claims paid from the Trust fund on an interim basis, although claim files will contain Notifications of First Payments from ROs.	
9.1	Medical Determination Bills	
	Disposition Authority Number	DAA-0271-2017-0004-0013
	When a miner files a black lung claim, one of our first actions is to schedule the miner for a battery of tests to determine if the miner has black lung disease and is totally disabled by it. Medical providers submit the bills for these tests, along with the test results, to the district offices. Approved bills are forwarded for payment to DCMWC's contractor-run medical bill payment operation, which is supervised by its National Office. Bills are batched by claims, copied electronically and the batch placed in a folder. Includes, bills processed before February 1, 1999, miner black lung claims, medical providers bills for tests, along with the test results, medical bills that were copied onto microfilm rolls for retention.	
	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.41/A2b
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year after payment.
	Retention Period	Destroy when no longer needed for reference.
	Additional Information	
	GAO Approval	Not Required

9.2

Copies of Treatment Bills

Disposition Authority Number DAA-0271-2017-0004-0014

Includes copies of treatment bills that have been kept on electronic patters starting February 1, 1999. Bills processed prior to that date are maintained on rolls of microfilm in the National Office.

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 re-
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.41/c

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year after payment.
Destroy when no longer needed for reference.

Retention Period Destroy when no longer needed for reference.

Additional Information

GAO Approval Not Required

9.3

Benefit Payment Input Forms

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

9.3.1

Benefit Payments for Approved Trust Fund Claims

Disposition Authority Number DAA-0271-2017-0004-0015

Includes CM-1061, CM-1161, and CM-1261, associated copies of returned or canceled checks, requests for check tracers, and associated information for the lifetime of beneficiary and as long as there are qualified dependents.

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 re-
mail and word processing? Yes

9.3.2	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.41/d1
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year after claim is closed.
	Transfer to Inactive Storage	Transfer to the FRC 2 years after cut off or when no longer needed.
	Retention Period	Destroy 10 fiscal years after cut off.
	Additional Information	
	GAO Approval	Not Required
	New Item: Benefit Payments for Interim Pay Claims Finally Reversed to Denials	
	Disposition Authority Number	DAA-0271-2017-0004-0016
	Includes the CM-1061, CM-1161, and CM-1261 payment forms, copies of returned or canceled checks, requests for check tracers and associated information.	
	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 2 years after claim is closed.
	Transfer to Inactive Storage	Transfer to the FRC 2 years after cut off or when no longer needed.
	Retention Period	Destroy 15 fiscal years after cut off.
	Additional Information	
	GAO Approval	Not Required
10	Electronic Media Information	

10.1

The Black Lung Series Data Automated Support Package (ASP) systems, is made up of three subsystems; Black Lung Accounting System (BLAS), Claimant and Payment Subsystem (CAPS), and Medical Bill Processing System (MBPS). Which 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.

Master Files

Disposition Authority Number DAA-0271-2017-0004-0017

The ASP master files includes 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.

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 re-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 Supersedes N1-271-02-01 Item No.42/a1-3

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year.

Transfer to the National Archives for Accessioning Transfer a copy to NARA 15 fiscal years after cut off.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Last transfer to NARA TR-0271-2017-0001

How frequently will your agency transfer these records to the National Archives? Every 1 Years

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Other Printouts Used by DCMWC

Disposition Authority Number DAA-0271-2017-0004-0018

This includes CBPS-02 (medical bill payment summaries), which is generated by Automated Support Package (ASP) system and the FAADS (Federal Assistance Award Data System) report benefit expenditures by county.

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.43

Disposition Instruction

Cutoff Instruction Cut off 5 fiscal years after report is generated.

Retention Period Destroy immediately after cut off or when no longer needed.

Additional Information

GAO Approval Not Required

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
11/07/2019	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/14/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/14/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
11/15/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist