

Request for Records Disposition Authority

Records Schedule Number	DAA-0271-2017-0005
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 LONGSHORE AND HARBOR WORKERS' COMPENSATION (DLHWC)
Internal agency concurrences will be provided	Yes
Background Information	<p>The Longshore and Harbor Workers' Compensation Act (LHWCA), and its extensions has the responsibility for administer claims filed under the mission of DLHWC is to minimize the impact of land based, maritime employment injuries, and deaths on the injured employees and their families by ensuring that workers' compensation benefits are provided promptly and properly under the following laws: Longshore and Harbor Workers' Compensation Act (LHWCA), Defense Base Act (DBA), Non-Appropriated Fund Instrumentalities Act (NAFIA), Outer Continental Shelf Lands Act (OCSLA).</p> <p>Benefits paid under the LHWCA and its extensions. Excluding beneficiaries who are covered by the Special Workers' Compensation Fund, the DLHWC generally does not issue benefit decisions or payments directly to injured workers. The role of the DLHWC is to provide technical assistance, dispute resolution services and oversee benefit delivery by the self-insured employers and insurance carriers it authorizes and regulates.</p> <p>This records schedule revises previously approved items to media neutral and modifies descriptions in previous schedules. DLHWC is responsible for maintaining these records throughout their lifecycle while under the responsibility of DLHWC. This records schedule applies to all organizational elements of DLHWC. This records schedule changes the following items:</p> <p>Supersedes: N1-271-02-01 Items: 45, 48, 51, 53, 53/b,d) 54, 55, 56, 57, 58, 58/a-b, 60, 60/a-b, 67, 67/b,d)</p> <p>Obsoletes: N1-271-02-01 Items: 46, 49, 50, 52, 59, 59/a-b, 61-66, 68, 68/a-b</p>

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
12	1	11	0

GAO Approval

Outline of Records Schedule Items for DAA-0271-2017-0005

Sequence Number	
1	NATIONAL OFFICE
1.1	DLHWC Directives Disposition Authority Number: DAA-0271-2017-0005-0001
1.2	DLHWC Internal Planning Records Disposition Authority Number: DAA-0271-2017-0005-0002
1.3	Longshore Special Fund System
1.3.1	Special Fund Case Metadata Disposition Authority Number: DAA-0271-2017-0005-0003
1.4	Insurance Carrier Authorization Files Disposition Authority Number: DAA-0271-2017-0005-0004
1.5	Self-Insurer Authorization Files Disposition Authority Number: DAA-0271-2017-0005-0005
1.6	Records of Rehabilitation Payments Made in National Office Disposition Authority Number: DAA-0271-2017-0005-0006
1.7	Special Fund Case Files Disposition Authority Number: DAA-0271-2017-0005-0007
2	NATIONAL AND DISTRICT OFFICES
2.1	Claimant Representatives Files
2.1.1	Cases that resulted in debarment Disposition Authority Number: DAA-0271-2017-0005-0008
2.1.2	Cases that did not result in debarment Disposition Authority Number: DAA-0271-2017-0005-0009
3	DISTRICT OFFICES
3.1	Lost Time Cases under the Longshore and Harbor Workers' Compensation Act and its Extensions
3.1.1	Part (a) Case Files Disposition Authority Number: DAA-0271-2017-0005-0010
3.1.2	Records, Transcripts, Exhibits from ALJ Formal hearings; Benefits Review Board, Court of Appeals or Supreme Court Disposition Authority Number: DAA-0271-2017-0005-0011
3.2	Longshore Case Management System (LCMS)
3.2.1	Longshore and Harbor Workers' Case Metadata Records Disposition Authority Number: DAA-0271-2017-0005-0012

Records Schedule Items

Sequence Number	
1	NATIONAL OFFICE
1.1	<p>DLHWC Directives</p> <p>Disposition Authority Number DAA-0271-2017-0005-0001</p> <p>Includes, directives concerning policies, instructions and guidance within DLHWC; Bulletins, Circulars, and Transmittals. Comprises the contents of the LHWCA manual, which is no longer being maintained. File scheme: Arranged in numerical order by calendar year.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Electronic records only</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? No</p> <p>GRS or Superseded Authority Citation N1-271-02-01 Item No.45</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of calendar year or when superseded or obsolete.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives in 10 year blocks 20 year(s) after block closes</p> <p>Additional Information</p> <p>First year of records accumulation 2017</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2017 To 2027</p> <p>How frequently will your agency transfer these records to the National Archives? Every 20 Years</p>

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	11.2 MB	5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

DLHWC Internal Planning Records

Disposition Authority Number **DAA-0271-2017-0005-0002**

Includes, National and Regional offices internal plans and reports relating to budget/planning process, and program plans.

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.48**

Disposition Instruction

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

Retention Period **Destroy when 7 years old or when no longer needed.**

Additional Information

GAO Approval **Not Required**

1.3

Longshore Special Fund System

The automated Longshore Special System provides total support in the National Office for the benefit disbursement and accounting system, the insurance authorization sub-system, and the assessment subsystem 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

1.3.1

claimants being compensated by the Special Fund. Payment data is transmitted electronically directly to the Treasury's mainframe system via Direct: Connect software.

Special Fund Case Metadata

Disposition Authority Number **DAA-0271-2017-0005-0003**

Includes case title and filing information and resolution, payment history and medical treatment events necessary to document essential case activity after case files have been 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.53/b**

Disposition Instruction

Cutoff Instruction **Cutoff when case closes**

Retention Period **Destroy 100 years after case opening.**

Additional Information

GAO Approval **Not Required**

1.4

Insurance Carrier Authorization Files

Disposition Authority Number **DAA-0271-2017-0005-0004**

Original application for authorization under the LHWCA and its extensions, charters and bylaws, state authorization certificates, and approved policies and endorsements. Includes original application for authorization under the LHWCA and its extensions, charters and bylaws, state authorization certificates, and approved policies and endorsements.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **Yes**

1.5	electronic format(s) other than e-mail and word processing?	
	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.54
	Disposition Instruction	
	Cutoff Instruction	Cut off after last covered worker/beneficiary is deceased.
	Retention Period	Destroy 5 years after cut off.
	Additional Information	
	GAO Approval	Not Required
	Self-Insurer Authorization Files	
	Disposition Authority Number	DAA-0271-2017-0005-0005
	Original application to be self-insured, documentation of decision granting authority to self-insure, authorization forms to sell securities, indemnity bonds, excess insurance policies, and statements of outstanding claims, parent company guarantee, and security deposit advises. Includes, original application to be self-insured, documentation of decision granting authority to self-insure, authorization forms to sell securities, indemnity bonds, excess insurance policies, and statements of outstanding claims, parent company guarantee, and security deposit advises.	
	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.55
	Disposition Instruction	
	Cutoff Instruction	Cut off after last covered worker/beneficiary is deceased.
	Retention Period	Destroy 5 years after cut off.

1.6	Additional Information	
	GAO Approval	Not Required
	Records of Rehabilitation Payments Made in National Office	
	Disposition Authority Number	DAA-0271-2017-0005-0006
	Includes, printouts of Electronic Certification System schedules of payments to vocational rehabilitation vendors who are providing services to LHWCA claimants.	
	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.56
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year.
	Retention Period	Destroy when 7 years after cut off or when no longer needed.
1.7	Additional Information	
	GAO Approval	Not Required
	Special Fund Case Files	
	Disposition Authority Number	DAA-0271-2017-0005-0007
	Includes, records of payment for compensation and related benefits, statements of employment status, formal orders for payment of compensation, medical and vocational rehabilitation reports, bills and vouchers.	
	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.57
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal after the case is closed.
	Transfer to Inactive Storage	Transfer to offsite storage 3 years after cut off or when no longer needed.
	Retention Period	Destroy 15 years after cut off.
	Additional Information	
	GAO Approval	Not Required
2	NATIONAL AND DISTRICT OFFICES	
2.1	Claimant Representatives Files	
	Includes, files relate to claimants' representatives who are being considered for being disqualified to represent claimants, or who have been disqualified from representing claimants under the provisions of the LHWCA. Records include representative's name and address, the names and addresses of affected claimants/beneficiaries, copies of relevant documents obtained from claimant/beneficiary files relating to the issue of representation; documents received as a result of the investigation of and/or hearing on the alleged violation, including investigations conducted by DOL Office of Inspector General or other agency; and copies of documents notifying the representative and other interested persons of the disqualification.	
2.1.1	Cases that resulted in debarment	
	Disposition Authority Number	DAA-0271-2017-0005-0008
	Includes, representative's name and address, the names and addresses of affected claimants/beneficiaries, copies of relevant documents obtained from claimant/beneficiary files relating to the issue of representation; documents received as a result of the investigation of and/or hearing on the alleged violation.	
	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

2.1.2	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.58/a
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year 3 years after the period of exclusion have expired.
	Transfer to Inactive Storage	Transfer to the FRC 2 years after cut off or when no longer needed.
	Retention Period	Destroy 10 years after cut off.
	Additional Information	
	GAO Approval	Not Required
	Cases that did not result in debarment	
	Disposition Authority Number	DAA-0271-2017-0005-0009
	Includes, representative's name and address, the names and addresses of affected claimants/beneficiaries, copies of relevant documents obtained from claimant/beneficiary files relating to the issue of representation; documents received as a result of the investigation of and/or hearing on the alleged violation.	
	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.58/b
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year 3 years after investigation is completed.
	Transfer to Inactive Storage	Transfer to the FRC 2 years after cut off or when no longer needed.
	Retention Period	Destroy 10 years after cut off.

3	Additional Information	
	GAO Approval	Not Required
3.1	DISTRICT OFFICES	
	Lost Time Cases under the Longshore and Harbor Workers' Compensation Act and its Extensions	
3.1.1	Part (a) Case Files	
	Disposition Authority Number	DAA-0271-2017-0005-0010
	Includes, files containing claims, correspondence, reports and related records resulting from injuries sustained by employees while working for employers who are covered under the LHWCA and its extensions. Time was lost from work as a result of such injuries, and/or compensation was paid.	
	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.60/a
	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 two years after cut off or when no longer needed.
	Retention Period	Destroy 15 years after cut off.
	Additional Information	
	GAO Approval	Not Required
3.1.2	Records, Transcripts, Exhibits from ALJ Formal hearings; Benefits Review Board, Court of Appeals or Supreme Court	
	Disposition Authority Number	DAA-0271-2017-0005-0011

Includes, records of Administrative Law Judge hearings, transcripts, exhibits, original decision, and orders, and other information pertinent to the formal hearings, and adjudications of the cases.

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.60/b

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year after final adjudication/approval of claim.

Transfer to Inactive Storage Transfer to offsite storage 2 two years after cut off or when no longer needed.

Retention Period Destroy 15 years after cut off.

Additional Information

GAO Approval Not Required

3.2

Longshore Case Management System (LCMS)

The LCMS is an automated system in support of the Longshore and Harbor Workers' Compensation Act and its extensions. It contains data on claims filed and benefits paid, and is used in the daily procession of claims and the production of management reports related to the processing of claims.

3.2.1

Longshore and Harbor Workers' Case Metadata Records

Disposition Authority Number DAA-0271-2017-0005-0012

Includes case filing and resolution, payment and medical treatment history necessary to document essential case activity after case file has been 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 Yes

electronic format(s) other than e-mail and word processing?

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.67/b

Disposition Instruction

Cutoff Instruction

Cutoff when case is closed

Retention Period

Destroy 100 years after case opening

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
05/24/2018	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
08/17/2020	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/01/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/02/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/02/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist