

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-271-06-01**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 10/1/2023

### **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These items, unless subsequently superseded, may be used by the agency to disposition records.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 1 Administrative Subject Files

Item 6 Accountability Review Reports

Item 10A Listing of Excluded Providers: input

Item 12A-C Energy Processing System (EPS)

Item 13A Energy Records Access Management (ERAM) System input

### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

Item 2 is superseded by DAA-0271-2017-0006-0001

Item 3 is superseded by DAA-0271-2017-0002-0003

Item 4 is superseded by DAA-0271-2017-0006-0003

Item 5 is superseded by DAA-0271-2017-0006-0004

Item 7 is superseded by DAA-0271-2017-0002-0003

Item 8A is obsolete according to Background Information on DAA-0271-2017-0006

Item 8B/A is superseded by DAA-0271-2017-0006-0006

Item 8B/B/1 and B/B/2 obsolete according to Background Information on DAA-0271-2017-0006

Item 8B/C1 is superseded by DAA-0271-2017-0002-0007

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Item 8B/C2 is obsolete according to Background Information on DAA-0271-2017-0006

Item 9 is obsolete according to Background Information on DAA-0271-2017-0006


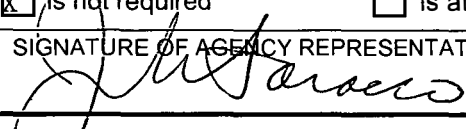
Item 10B is superseded by DAA-0271-2017-0006-0011

Item 10D is superseded by DAA-0271-2017-0006-0012

Item 11 is obsolete according to Background Information on DAA-0271-2017-0006

Item 13B is superseded by DAA-0271-2017-0006-0015

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <u>71-271-06-1</u>	
1 FROM (Agency or establishment)  US DEPARTMENT OF LABOR		Date Received  <u>12.16.2005</u>	
2 MAJOR SUB DIVISION EMPLOYMENT STANDARD ADMINISTRATION		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	
3 MINOR SUBDIVISION EEOIC			
4 NAME OF PERSON WITH WHOM TO CONFER  Brad Sunkovic	5 TELEPHONE  202-693-0256	DATE  <u>12 Oct 10</u>	ARCHIVIST OF THE UNITED STATES  
<b>6 AGENCY CERTIFICATION</b> 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 <u>7</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies.			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE  12/15/2005	SIGNATURE OF AGENCY REPRESENTATIVE  		TITLE  Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached sheets		

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

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

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

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**NATIONAL OFFICE**

**1. Administrative Subject Files**

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

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

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**2. Congressional Correspondence**

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

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

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**3. Legislative and Legal Subject Files**

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

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

## NATIONAL AND DISTRICT OFFICES (EEOICPA)

### 4. Case Files

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

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

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### 5. EEOICPA Bulletins and Circulars

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

#### A Bulletins

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

#### B Circulars

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

#### C Transmittals

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

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6. **Accountability Review Reports**

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

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

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7. **Training Records**

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

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

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8. **Financial Records**

**PRIVACY RESTRICTION: YES**

Disposition Temporary

**PRIVACY ACT SYSTEMS OF RECORD**

**DOL/GOVERNMENT-WIDE 1**

A Medical Payments/reimbursements

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

Claimant Medical Reimbursement (DOL Form CA-915)

Medical Travel Refund Request [Employee] (DOL Form OWCP-957)

Uniform Health Insurance Claim Form (DOL Form UB-92)

Health Insurance Claim Form (DOL Form OWCP/HCFA-1500)

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

B Benefits

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

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

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

b Payment Transaction Form (PTF)

Disposition

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

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

c Benefits Transaction History Report

Disposition

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

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

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9. **Listing of payments of EEOICPA Beneficiaries**

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

**Disposition:**

- A Inputs **Temporary** Case management actions taken in claim files involving medical expenses Input records are placed in the individual case files See "Claim Files" item 4
- B Master File **Temporary**. Payment data is maintained in the Energy Medical Bill Pay System (EMBPS) This data can be accessed to provide users with compensation, medical bill pay (medical providers) and medical reimbursement (to claimants) case histories taken on behalf of EEOICPA recipients EMBPS is continuously updated as additional payments are made Delete electronic information when no longer needed

C Output

- a Hard Copy Reports Consist of computer printouts generated from EMBPS data stored in the database, which summarizes costs for individual cases, under EEOICPA during the chargeback year (July 1 through June 30)

**Disposition: Temporary** Destroy when six years, three months old

- b Management Reports Generated by this system are provided upon request These reports are retained by the requesting office (National Office or District Office)

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

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

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

**10. Listing of Excluded Providers**

**PRIVACY RESTRICTION: YES**  
**DOL/ESA-29**

Report which lists all physicians who have been excluded from receiving payment for services billed under EEOICPA, by virtue of circumstances such as removal of license, suspension under another government entitlement program such as Medicare, submission of bills for services rendered to Energy employees which are higher than same services rendered to non-Energy employees, etc

- A Inputs Electronic data tables received from Department of Health and Human Services (HHS) Office of the Inspector General (OIG) are posted monthly onto the National Office server

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



**Note:** In-house exclusions are posted as needed onto the National Office server. Disposition of documents supporting these exclusions is addressed under (D) of this item.

- B Master File. Data maintained in a separate file on the National Office server. It contains the names, addresses, tax identification numbers and effective dates of all physicians who have been excluded from receiving payment for services billed under EEOICPA. The information maintained in the database for this system is backed up weekly to magnetic tape. Names and tax identification numbers of excluded providers are not removed from this file, except when the tax identification number for an excluded provider is assigned to another provider because of the death of the excluded provider. In that case, the name, address and tax identification number of the excluded provider are deleted from the automated system.

**Disposition: Temporary** Destroy when no longer needed.

- ~~C **Output.** Hard copy of report lists the names, addresses, and tax identification numbers of all physicians who have been excluded at some point from receiving payment for services billed under EEOICPA. If appropriate, also lists the beginning and ending dates of exclusion for payment.~~

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

- D Related Correspondence. A correspondence file pertaining to in-house exclusions include letters to and from members of Congress, DEEOIC district offices, attorneys, medical providers, and other governmental medical entitlement programs. Subject matter of such correspondence may include notification of violations, notification to the provider, and copies of appeals made to individual cases.

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

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

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

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## 11. Energy Case Management System (ECMS)

**PRIVACY RESTRICTIONS: YES**

**DOL/ESA-49 System of Records – Office of Workers’ Compensation Programs, Energy Employees Occupational Illness Compensation Program Act File**

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

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

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

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

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

**Disposition: Temporary.** Destroy electronic information when no longer needed

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

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

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

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

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## 12. Energy Processing System (EPS)

### **PRIVACY RESTRICTIONS: YES**

### **DOL/ESA-49 System of Records – Office of Workers’ Compensation Programs, Energy Employees Occupational Illness Compensation Program Act File**

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

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

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

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

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

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

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

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

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

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

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### 13. Energy Records Access Management (ERAM) System

**PRIVACY RESTRICTIONS: YES**

**DOL/ESA-49 System of Records – Office of Workers’ Compensation Programs, Energy Employees Occupational Illness Compensation Program Act File**

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

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

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

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

**Disposition: Temporary** Destroy electronic information when no longer needed.

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

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

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

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

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

- A Copies that have no further administrative value after the recordkeeping copy is made  
Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disc or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy

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

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

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