

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-271-80-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/16/2020

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records.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

Item 27, No Time Lost Cases under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act

Item 28, Index Cards for No Time Lost Cases under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act

Item 36, No Time Lost Cases

Item 37, Index Cards for No Time Lost Cases

Item 38, Lost Time Cases

Item 39, Index Cards for Lost Time Cases

Item 40, Permanent Partial Disability Cases involving Loss of Member for Prosthetic Appliance are provided under the District of Columbia Compensation Act

Item 41, Death Cases

Item 42, Index Cards for Death Cases

Item 43, Pending File (Injury Material)

Item 44, No Jurisdiction File

Item 45, Coverage Cards (DC-570)

Item 46, Coverage Correspondence

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Items 1-26, 28-35 and 47-55 are superseded by N1-271-92-001, N1-271-02-001, N1-271-95-001, N1-271-86-001, and N1-271-00-001.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Revision received 11/24/82

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See, Instructions on reverse)

TO GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1 FROM (AGENCY OR ESTABLISHMENT)
U.S. Department of Labor

2 MAJOR SUBDIVISION
Employment Standards Administration

3 MINOR SUBDIVISION
Office of Workers' Compensation Programs

4 NAME OF PERSON WITH WHOM TO CONFER

~~Clark Forkel~~
Craig Otto

5 TEL EXT

523-8405⁴⁵

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JOB NO

NC1-271-80-1

DATE RECEIVED

November 24, 1982

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

3-7-84
Date

[Signature]
Archivist of the United States

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 21 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

A Request for immediate disposal

B Request for disposal after a specified period of time or request for permanent retention.

C DATE 11/25/82	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Clarence F. Jackson</i>	E TITLE Departmental Records Officer
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ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
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The Office of Workers' Compensation Programs and its predecessor organization, the Bureau of Employees' Compensation (BEC), administers legislation which dates back to 1916 (the Federal Employees' Compensation Act). Department of Labor involvement in the field of workers' compensation began in 1950 when the BEC was transferred to the Department. Since that time numerous reorganizations have taken place and current workers' compensation programs are administered by OWCP in the Department's Employment Standards Administration. OWCP is headed by a Director who reports directly to the ~~Assistant~~ Secretary for Employment Standards.
Deputy Under

The Office of Workers' Compensation Programs (OWCP) administers programs which provide benefits to workers suffering personal injuries or contracting job-related illness for Federal Government workers under the Federal Employees' Compensation Act and other persons performing work for the United States at the time of their injury under related legislation; for Longshore and Harbor Workers; for employees of private industry in the District of Columbia under the District of Columbia Compensation Act; for workers on defense bases or on public works contracts outside the United States under the Defense Base

C.O.

73 items

MASS DATA CHANGE SHEET ATTACHED

All FRC's sent 3-26-84 by Dmw

NMF - Agency sent 3-26-84 by Dmw

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	<p>Act; for workers under the Nonappropriated Fund Instrumentalities Act; for workers on the U.S. continental shelf under the Outer Continental Shelf Lands Act; for coal mine workers under the Federal Coal Mine Health and Safety Act; and for other legislation related to the above statutes.</p> <p>For convenience of reference, the items below are grouped under organization headings; but the disposition provisions remain effective regardless of organizational change, so long as the nature of the records remains as described.</p> <p>This records schedule supersedes any and all previous schedules of the OWCP and incorporates all new programs under its jurisdiction. This schedule replaces records schedule II-NNA-2450 and modifies and replaces schedules NCl-271-75-1 and NCl-271-82-1. The schedule updates Retention Plan NN-465-27.</p> <p><u>THE OFFICE OF WORKERS' COMPENSATION PROGRAMS</u> <u>NATIONAL OFFICE</u></p> <p>1. <u>OWCP Procedures and Directives Files</u></p> <p>a. OWCP policy directives and procedural manuals. Arranged in numerical order by year. Current volume: 5 cubic feet, Annual accumulation: 1/2 cubic feet. <i>1964-present.</i></p> <p>PERMANENT. Cut off file when 15 years old and, if volume warrants, transfer to FARC. Offer to NARS when 25 years old, <i>in 10-year blocks.</i></p> <p>b. Bulletins and circulars concerning personnel selections and other internal matters, such as statistical reporting, equipment, space, and travel.</p> <p>Destroy 5 years after superseded.</p> <p>2. <u>Administrative Subject File</u></p> <p>Correspondence, memoranda, reports, publications, and other records relating to all routine administrative matters, such as office services, personnel, financial matters, travel, and procurement.</p> <p>Break file annually. Destroy when 3 years old.</p>	<p>IINNA2450 item 1</p>	<p><i>Dur</i> <i>11/17/83</i></p>

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3.	<p><u>Program Subject File</u></p> <p>Correspondence, memoranda, reports, studies, regulations, opinions, and other records relating to the compensation programs administered by the OWCP and by state and foreign governments. Included are records relating to policy, insurance, medical care, vocational rehabilitation, the compensation fund, claims, hearings, and court cases, regulations, opinions and technical assistance. Arranged by subject-numeric code.</p> <p>Destroy when 5 years old or when no longer needed for reference, whichever is sooner. Screen annually.</p>	IINNA2450 item 2	
4.	<p><u>Legislative and Legal Subject File</u></p> <p>Correspondence, memoranda, reports, copies of laws, executive orders and proclamations, and other records relating to the development of legislation, Congressional relations, and claims and litigation. Arranged by subject-numeric code.</p> <p>Destroy when no longer needed for reference. Screen annually. These records may not be transferred to a FARC.</p>	IINNA2450 item 1	
5.	<p><u>Claimants' Correspondence</u></p> <p>Correspondence with members of Congress relating to inquiries made on behalf of individual claimants.</p> <p>Destroy when 3 years old.</p>	IINNA2450 item 2	
6.	<p><u>Publications</u></p> <p>Record copy of OWCP publications and studies relating to patterns of injury and occupational disease, actuarial information, extent of coverage of compensation, and other program matters. Arranged alphabetically by subject. Current volume: 10 cubic feet, Annual accumulation: 2 cubic feet. ^{1986 - present.}</p> <p>PERMANENT. Offer to NARS when ¹⁰/₁₅ years old.</p>	IINNA2450 items 3, 40, 41	<p><i>Dur for Craigotto 11/17/83</i></p>

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7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
7.	<p><u>FECA and LHWCA Caseload and Mail Reports</u></p> <p>Reports from individual District Offices (CA-80, IS-2 and IS-3) and the summary report (CA-204 and IS-6).</p> <p>Destroy when 10 years old.</p>	IINNA2450 item 48	
8.	<p><u>Work Measurement Reports in Director's Office</u></p> <p>Various documents related to reports on productivity, work measurement and related items such as performance standards for various OWCP offices, NO and field.</p> <p>Maintain in office 5 years. Transfer to FARC when 5 years old. Destroy when 15 years old.</p>		
9.	<p><u>FEC Adjudication Control Report, Form CA-85</u></p> <p>Monthly reports received from the District Offices and Branch of Special Claims, disclosing the number of cases in process of adjudication.</p> <p>Destroy when 2 years old.</p>		
10.	<p><u>FEC and LHWCA Quarterly Rehabilitation Reports</u></p> <p>Reports showing the number of rehabilitation cases received during the period, the number referred for rehabilitation, etc.</p> <p>Destroy when 5 years old.</p>		
11.	<p><u>Hearing Loss Report</u></p> <p>Monthly summary of hearing loss cases received and adjudicated.</p> <p>Cut off file on a yearly basis. Destroy when 10 years old.</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
12.	<p>DIVISION OF FEDERAL EMPLOYEES' COMPENSATION NATIONAL OFFICE</p> <p><u>Master Index</u></p> <p>An alphabetical file containing an index card for every injury reported under the Federal Employees' Compensation Act (FECA) and its extension. These cards contain identifying information together with the case number of the claimant and are used in identifying mail or for obtaining the claimant's file number.</p> <p>If the index cards are microfilmed,</p> <ol style="list-style-type: none"> Destroy the hard copy when the microfilm has been verified. Retain the microfilm in OWCP. Destroy the microfilm when 35 years old. <p>If the index cards are not microfilmed,</p> <ol style="list-style-type: none"> Retain the card in OWCP. Destroy when 35 years old. 	NCl-271-82-1 item 1	
13.	<p><u>Listings of Periodic Payments to FECA Beneficiaries</u></p> <p>Copies of transcripts prepared by the U.S. Department of Treasury listing the names and addresses of payees, case file numbers, amounts paid, check numbers, and dates paid.</p> <p>Destroy when 6 years, 3 months old.</p> <p>NATIONAL AND FIELD OFFICES (FECA)</p>	NCl-271-82-1 item 2	
14.	<p><u>Compensation Case Files Reporting Lost Time and/or Death</u></p> <p>Case files containing reports and other records, including claims, payment records, and any results of administrative determinations or court rulings, 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> <p>Cut off file when case becomes inactive. Transfer to FARC 2 years after cutoff. Destroy 35 years after cutoff.</p>	NCl-271-82-1 item 3	

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15.	<p><u>Compensation Case Files Reporting No Lost Time</u></p> <p>Reports and other records relating to injuries to civil employees of the U.S. Government sustained while in performance of their duties but in which no time was lost.</p> <p>a. <u>No Lost Time Cases involving medical expenses</u></p> <p>(1) <u>Case File</u></p> <p>When case is closed, place file in an inactive status for two years. After two years, remove summary sheet (CA-800) from case file and place in a separate series. Once the summary sheet is removed, destroy the inactive file.</p> <p>(2) <u>Summary Sheet (CA-800)</u></p> <p>If summary sheet is microfilmed,</p> <p>(a) Destroy the hard copy when the film has been verified.</p> <p>(b) Retain the microfilm in OWCP. Destroy the microfilm 35 years after case is closed.</p> <p>If summary sheet is not microfilmed,</p> <p>(c) Retain the summary sheet in OWCP for 3 years, then transfer to FARC. Destroy 35 years after case is closed.</p> <p>b. <u>No Lost Time Cases without medical expenses</u></p> <p>If no medical bills are received within 90 days after receipt of the report of injury, return the report of injury to employing agency.</p>	NCL-271-82-1 item 4	
16.	<p><u>Bills Paid for Medical and Health Services</u></p> <p>Providers of medical and health services and claimants who request reimbursement for such services submit bills to FECA field offices requesting payment. When a bill is paid, bill and batch payment system form CA-D-9 are removed from case file and placed in a separate series.</p> <p>If bill and associated batch payment form are microfilmed,</p>	NCL-271-82-1 item 5	

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16.	<p>a. Destroy hard copy when film has been verified.</p> <p>b. Retain the microfilm in OWCP. Destroy the microfilm 6 years, 3 months after bill is paid.</p> <p>If bill and associated batch payment form are not microfilmed,</p> <p>c. Retain bill and CA-D-9 for 2 years in office, then transfer to FARC. Destroy when 6 years, 3 months old.</p>		C.O.
17.	<p><u>Unpayable Bills</u></p> <p>If bill is unpayable, remove bill from case file and return to sender.</p>	NCL-271-82-1 item 6	
18.	<p><u>X-Ray File</u></p> <p>Return to sender after the x-ray serves its purpose with OWCP.</p>	NCL-271-82-1 item 7	
19.	<p><u>Summaries for Payments on Cases on the Death Periodic Roll (CA-105) and on the Disability Periodic Roll (CA-106)</u></p> <p>When case is closed, place summary in inactive file.</p> <p>If microfilmed,</p> <p>a. Destroy hard copy when microfilm has been verified.</p> <p>b. Retain microfilm in office. Destroy 35 years after case is closed.</p> <p>If summary is not microfilmed,</p> <p>c. Retain in office and destroy 35 years after case is closed.</p>	NCL-271-82-1 item 8	
20.	<p><u>Claim for Continuance of Compensation on Account of Death (CA-12)</u></p> <p>Surviving spouses who are beneficiaries under FECA and its extensions are required to file annual claims for continuance of compensation, swearing that they have not remarried. These statements may be used as evidence in prosecuting or obtaining recovery from beneficiaries who fail to advise OWCP of remarriage and accept compensation to which they are not entitled.</p> <p>Destroy when 6 years, 3 months old.</p>	NCL-271-82-1 item 9	

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21.	<p><u>Paid Schedules</u></p> <p>Schedules of all disbursements of OWCP compensation payments (CA-102, SF-1166, and SF-1167)s</p> <p>Destroy when 6 years, 3 months old.</p> <p>DIVISION OF LONGSHORE AND HARBOR WORKERS' COMPENSATION NATIONAL OFFICE</p>	NCl-271-82-1 item 10	
22.	<p><u>Claims for Reimbursement by Insurance Carriers and Employers</u></p> <p>Claims for reimbursement for monies advanced longshore claimants in cases where Federal payments are appropriate under the Longshoremen's and Harbor Workers' Compensation Act (LHWCA) and its extensions.</p> <p>Destroy when 6 years, 3 months old.</p>		
23.	<p><u>Insurance Carrier Authorization Files</u></p> <p>Original application for authorization under the LHWCA and its extentions, renewal application letters, charters and bylaws, state authorization certificates, annual renewal certificates, and approved policies and endorsements.</p> <p>Retain in office while authorization remains in effect. Transfer to FARC on termination of authorization. Destroy 15 years after termination of authorization.</p>		C. O.
24.	<p><u>Self-Insurer Authorization Files</u></p> <p>Original application to be self-insured, documentation of decision granting authority to self-insurer, authorization forms to sell securities, indemnity bonds, excess insurance policies, statements of outstanding claims, parent company guarantee, and security deposit advices.</p> <p>Retain in office while authorization remains in effect. Transfer to FARC on termination of authorization. Destroy 30 years after termination of authorization.</p>		C. O.

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25.	<p><u>Awards from the Special Fund</u></p> <p>Case files pertaining to awards made where there is no insurance coverage or self-insurer with responsibility for payment of a valid claim.</p> <p>Destroy 7 years after last payment is made.</p>		
26.	<p><u>Records of Rehabilitation Payments made in National Office</u></p> <p>Destroy when 7 years old.</p> <p>DIVISION OF LONGSHORE AND HARBOR WORKERS' COMPENSATION FIELD OFFICES</p>		
27.	<p><u>No Time Lost Cases under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act</u></p> <p>Reports and related records of injuries sustained by employees while working for employers who are required to carry insurance coverage or to act as self-insurers under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act. No time was lost, no claim was filed as a result of the injuries.</p> <p>Destroy 3 years after end of fiscal year during which report was received.</p>	IINNA2450 items 107 108, 109	
28.	<p><u>Index Cards for No Time Lost Cases under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act</u></p> <p>Destroy 3 years after end of fiscal year during which related report was received.</p>	IINNA2450 items 119, 120, 121	
29.	<p><u>Lost Time Cases under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act</u></p> <p>Reports and related records of injuries sustained by employees while working for employers who are covered</p>	IINNA2450 items 110, 111, 112	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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29.	<p>under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act. Time was lost from work as a result of such injuries, and/or compensation was paid.</p> <p>Transfer to FARC 2 years after case is closed. Destroy 20 years after case is closed.</p>		
30.	<p><u>Index Cards for Lost Time Cases under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act.</u></p> <p>Destroy 20 years after related case file is closed.</p>	IINNA2450 items 122, 123, 124	
31.	<p><u>Permanent Partial Disability Cases Involving the Loss of a Member for which Prosthetic Appliances are Provided under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act.</u></p> <p>Compensation cases in which purchases of prosthetic appliances are provided in addition to other compensation benefits. Such appliances are authorized during the lifetime of the claimant.</p> <p>Retain in office during the lifetime of the claimant. Destroy 6 years, 3 months after the claimant's death.</p>	IINNA2450 items 113, 114, 115	
32.	<p><u>Death Cases under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act.</u></p> <p>Reports of injuries, resulting in death, sustained by employees while working for employers who are covered under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act.</p> <p>Retain in office as long as there are qualified dependents. Destroy 6 years, 3 months after final closing.</p>	IINNA2450 items 116, 117, 118	

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33.	<p><u>Index Cards for Death Cases under the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act.</u></p> <p>Retain in office. Destroy 6 years, 3 months after related case file is closed.</p>	IINNA2450 items 122, 123, 124	
34.	<p><u>Pending File (Injury Material)</u></p> <p>Incomplete reports of injuries. Official reports are never received in these cases.</p> <p>Destroy when 1 year old.</p>	IINNA2450 item 30	
35.	<p><u>Insurance Coverage Cards and Related Correspondence Required under Regulations covering the Administration of the Longshoremen's and Harbor Workers' Compensation Act, the Defense Base Act, the Outer Continental Shelf Lands Act, or the Nonappropriated Fund Instrumentalities Act.</u></p> <p>All employers subject to the above acts are required to carry insurance coverage or act as self-insurers. When they take insurance coverage, the insurance carrier files a card with OWCP stating the policy number and expiration date.</p> <p>Destroy 6 years, 3 months after expiration of coverage.</p> <p>DISTRICT OF COLUMBIA COMPENSATION ACT DISTRICT OFFICE (#40)</p>	IINNA2450 items 131, 132, 133	
36.	<p><u>No Time Lost Cases</u></p> <p>Reports and related records of injuries sustained by employees while working for employers who are covered by the District of Columbia Compensation Act, in cases in which no time was lost from work.</p> <p>Destroy when 5 years old.</p>	IINNA2450 item 140	
37.	<p><u>Index Cards for No Time Lost Cases</u></p> <p>An alphabetical file containing an index card for each case reported under the District of Columbia Compensation Act in which no time was lost from work.</p> <p>Destroy when 5 years old.</p>	IINNA2450 item 144	

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38.	<p><u>Lost Time Cases</u></p> <p>Reports and related records of employees injured while working for employers covered by the District of Columbia Compensation Act, in cases in which time was lost from work.</p> <p>Transfer to FARC 3 years after closing. Destroy 20 years after closing.</p>	IINNA2450 item 141	
39.	<p><u>Index Cards for Lost Time Cases</u></p> <p>An alphabetic file containing an index card for each case reported under the District of Columbia Compensation Act in which there was a loss of time.</p> <p>Destroy 20 years after related case file is closed.</p>	IINNA2450 item 145	
40.	<p><u>Permanent Partial Disability Cases involving Loss of a Member for which Prosthetic Appliances are provided under the District of Columbia Compensation Act</u></p> <p>Compensation cases in which purchase of prosthetic appliances are provided in addition to other compensation benefits. Such appliances are authorized during the lifetime of the claimant's death.</p> <p>Retain in office during the lifetime of the claimant. Destroy 6 years, 3 months after claimant's death.</p>	IINNA2450 item 142	
41.	<p><u>Death Cases</u></p> <p>Reports of injuries resulting in death, sustained by employees while working for employers who are covered by the D.C. Compensation Act.</p> <p>Retain in office as long as there are qualified dependents. Destroy 6 years, 3 months after closing.</p>	IINNA2450 item 141	
42.	<p><u>Index Cards for Death Cases</u></p> <p>Destroy 6 years, 3 months after case is closed.</p>	IINNA2450 item 145	
43.	<p><u>Pending File (Injury Material)</u></p> <p>Incomplete reports of injuries. Official reports are never received in these cases.</p> <p>Destroy when 1 year old.</p>	IINNA2450 item 147	

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44.	<p><u>No Jurisdiction File</u></p> <p>Forms and correspondence relating to injuries over which OWCP has no jurisdiction. This material is indexed when received and filed alphabetically without any type of folder.</p> <p>Destroy when 2 years old.</p>	INNA2450 item 148	
45.	<p><u>Coverage Cards (DC-570)</u></p> <p>All employers subject to the District of Columbia Compensation Act are required to carry insurance coverage or to act as self-insurers. When they take coverage, the insurance carriers file cards with OWCP stating the policy numbers and expiration dates. New cards are received each year from all employers (new and old) and the old cards are retired to the inactive file.</p> <p>Destroy 5 years after expiration of coverage.</p>	INNA2450 item 149	
46.	<p><u>Coverage Correspondence</u></p> <p>General correspondence with insurance carriers and local firms regarding insurance coverage. This correspondence does not pertain to individual injury cases.</p> <p>Destroy when 2 years old.</p> <p>DIVISION OF COAL MINE WORKERS' COMPENSATION (DCMWC) NATIONAL OFFICE AND FIELD</p>	INNA2450 item 156	
47.	<p><u>Black Lung Bulletins and Circulars</u></p> <p>Issuances concerning training, one-time reporting requirements, and other program matters.</p> <p>Destroy 3 years after superseded.</p>		
48.	<p><u>X-Ray Files</u></p> <p>Reports submitted as evidence in support of claims for Black Lung benefits. After a series of readings in the field and by expert radiologists, they are determined either positive, indicating the presence of coal workers' pneumoconiosis (CWP) or negative, indicating the absence of CWP.</p> <p>Transfer to FARC 2 years after final adjudication. Destroy 17 years after final adjudication.</p>		e-o.

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49.	<p><u>FCMSA Case Files</u></p> <p>Files containing claims and related materials including all correspondence resulting from claims for compensation under the Federal Coal Mine Health and Safety Act of 1969 as amended and the Black Lung Benefits Reform Act of 1977.</p> <p>a. Section (a) case files (approved claims)</p> <p>Retain in appropriate office during lifetime of claimant or as long as there are qualified dependents, then close file and transfer to FARC. Destroy 10 years after case is closed.</p> <p>b. Section (b) case files (denied claims)</p> <p>Close file after denial becomes final. Transfer to FARC 2 years after closing. Destroy 15 years after closing.</p>		<p>C.O.</p> <p>C.O.</p>
50.	<p><u>Responsible Operator Files</u></p> <p>a. Alphabetic card file of mine operators</p> <p>Cards on all known mine operators, plus cards confirming insurance for all operators who have procured insurance. These files are used daily as a source for determining responsibility for payment of black lung claims.</p> <p>Transfer to FARC when 25 years old. Destroy when 50 years old.</p> <p>b. Legal identification files</p> <p>Legal documents relating to the identification and status of corporate identities plus records of determination of corporate responsibility for individual claims. Information is historically significant and is necessary to establish mine operators' responsibility for black lung claims, often many years after actual employment with a particular operator has occurred.</p> <p>Transfer to FARC when 25 years old. Destroy when 50 years old.</p>		<p>C.O.</p> <p>C.O.</p>
51.	<p><u>Self-Insurer Files</u></p> <p>Applications and other historical documentation pertaining to companies who request approval to become self-</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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51.	<p>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 historically necessary to establish mine operators' responsibility for black lung claims, often many years after actual employment with a particular operator has occurred.</p> <p>Transfer to FARC when 5 years old. Destroy when 50 years old.</p>		
52.	<p><u>Payment Records</u></p> <p>Black Lung claims are paid by either the Black Lung Benefit Trust Fund or by the Responsible Mine Operator (R/O)s</p> <p>a. Medical Determination Files</p> <p>Bills submitted by the providers of medical services to the claimants, and requests for reimbursement of travel and other expenses incurred by claimants in their efforts to obtain benefits from the Black Lung Program.</p> <p>(1) National Office Medical Determination Files, trust fund or R/O, pertaining to closed cases transferred to District Offices in 1978, 1979 and 1980.</p> <p>Transfer to FARC in 1982 or 1983. Destroy 4 years and 3 months after transfer.</p> <p>(2) Other Trust Fund Files</p> <p>When all bills are paid, transfer the pertinent contents to the FCMSA case file (item 49) or the medical treatment file (item 52b) in DCMWC for retention.</p>		<p>C.O.</p> <p>C.O.</p>

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	<p>(3) Other R/O Files</p> <p>When all bills are paid, transfer pertinent contents to the FCMSA case file (item 52b) in DCMWC for retention.</p> <p>b. Medical Treatment Files</p> <p>These are bills submitted for treatment of approved claimants for Black Lung or related disorders. They are submitted by physicians, clinics and other accepted providers of treatment, to the miner.</p> <p>(1) Trust Fund Files</p> <p>Upon the death of the coal miner and when all bills are paid, place in inactive status. Retain inactive files in DCMWC for 2 years. Transfer to FARC. Destroy inactive file when 6 years and 3 months old. GRS 6-1</p> <p>(2) R/O Files</p> <p>Upon the death of the coal miner and when all bills are paid, and/or reimbursed by the R/O, place in inactive status. Retain inactive file in DCMWC for 2 years. Transfer to FARC. Destroy inactive file when 6 years and 3 months old. GRS 6-1</p> <p>c. Benefit Payments</p> <p>Awarded claimants are paid allotments based on the criteria established by the Federal Coal Mine Health and Safety Act of 1969, as amended, and the Black Lung Benefits Reform Act of 1976.</p> <p>Fiscal records of these payments should be kept in DCMWC for 2 years from the time the benefits are awarded. Transfer to FARC and destroy when 6 years and 3 months old. GRS 6-1</p>		<p>C.O.</p> <p>C.O.</p>

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
53.	<p><u>Records of Notice of Intent to File</u></p> <p>Records are maintained of indications communicated by prospective claimants who inform DCMWC that they intend to file a claim within 6 months. Records are coded on forms and processed through the Claimant Information System (CIS)s. These then appear on the claimant information file and are retained for one year; then they are deleted either because there is positive information on the CIS that a claim was filed during that time or that the prospective claimant failed to file as previously indicated.</p> <p>Destroy 1 year from date received.</p>		C.O.
54.	<p><u>Section 428 Claims</u></p> <p>Records relating to claims filed contending that the claimant was discriminated against with regard to his/her employment as a coal miner because of a pending or prospective claim for Black Lung benefits.</p> <p>Transfer to FARC 1 year after case is closed. Destroy 10 years after case is closed.</p>		C.O.
55.	<p><u>General Correspondence</u></p> <p>Correspondence not related to specific claims, such as requests from the UMWA, coal companies, health groups and insurance companies for reports. These records are filed in the Associate Director or Deputy Commissioner's office.</p> <p>Destroy when 3 years old.</p> <p>OFFICE OF WORKERS' COMPENSATION PROGRAMS MACHINE-READABLE RECORDS</p> <p>Longshoremen and Harbor Workers Machine-Readable Files</p>		C.O.
56.	<p><u>Special Fund Assessment System</u></p> <p>This system automates the annual assessment of authorized insurance carriers and self-insurers under the Longshoremen's Act and extensions. Insurance carriers and self-insurers are required to report on an annual basis all payments made for compensation and medical benefits during each calendar year. At the beginning of each</p>		<p>WITHDRAWN CO/DWR 1/6/84</p>

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-56.	<p>calendar year the expenses of the Special Fund are estimated by the Division of Inshoremen and Harbor Workers' Compensation Programs and each carrier and self-insurer required to pay a pro-rata assessment based on the amount of payments made under the Act and extensions to cover the expenses of the funds</p> <p>The system generates the required reporting forms, pasts the payment data, and computes the individual company assessments. It also recomputes assessments which are in error, prepares assessment bills for mailing and generates the required mailing labels. In addition, the system produces certificates of authority for authorized insurance carriers and generates lists containing the names and addresses of all authorized insurance carriers and self-insurers.</p> <p>Location of file: Optimum Systems, Inc. Rockville, MD Facility is a climate-controlled tape library and/or computer room. The files are rewritten to magnetic tape six times per week.</p> <p>Retain magnetic tape for 2 years at OSI, then transfer to FARC. Destroy when 10 years old.</p>		C.O.
57.	<p><u>Special Fund Disbursement System</u></p> <p>This system is designed to automate certain payment functions of the IMCA fiscal unit which processes receipts and disbursements from the Special Fund under Section 44 of the Act. The system will prepare payment schedules, status of funds reports, and other management reports pertaining to various sections of the Act. The data elements contained in this system are as follows: claimant name, address, date of injury/death, type of disability, type of benefit, case status, name of payee, address of payee, fund amounts, pay periods, name of insurance carrier/self-insurer, address of insurance carrier/self-insurer.</p> <p>Location of file: Optimum Systems, Inc.</p> <p>Retain magnetic tapes for 2 years at OSI then transfer to FARC. Destroy when 10 years old.</p>		<p>WITHDRAWN</p> <p>CO/DOZ 1/2/84</p> <p>C.O.</p>
58s	<p><u>Loss Reserve Security System</u></p> <p>This system is designed to provide the CLHWC with the outstanding claim liabilities and available security</p>		<p>WITHDRAWN</p> <p>CO/DOZ 1/16/84</p>

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58.	<p>deposit for all self-insured employers authorized under the Longshoremen's Act and extensions. Information pertaining to the outstanding liabilities of open claim files will be forwarded to the National Office of the DLHWC by the respective district offices for maintenance in a central system. This loss data will be compared to the amount of security that a company has on deposit with the office to determine if the security deposit is adequate to meet the company's outstanding liabilities under the Act.</p> <p>Retain magnetic tapes for 2 years at OSI, then transfer to FARC. Destroy when 10 years old.</p> <p>Black Lung Benefits Act Machine-Readable Files</p>		
59.	<p><u>Benefit Payment Master File</u></p> <p>This system receives and processes information from the Form 1061 via a 500 character master program which furnishes Treasury the information needed to issue the checks. Data elements include personal identifiers, financial data on the amount paid monthly, geographic codes, and spouse and dependent information.</p> <p>Location of file: OSI</p> <p>Retain magnetic tape for 2 years at OSI, then transfer to FARC. Destroy when 12 years old.</p>		<p>WITHDRAWN CO/Dur 1/6/84</p> <p>C.O.</p>
60.	<p><u>Service Payment Master File</u></p> <p>This system receives and processes information from Form 958 and Form 959 needed to issue checks to pay bills for medical treatment incurred by miners covered under this program. Data elements include descriptive information concerning each medical invoice, arranged by type of invoice, claim date, provider number, claimant name and Social Security number.</p> <p>Retain magnetic tapes for 2 years, then transfer to FARC. Destroy when 10 years old.</p>		<p>WITHDRAWN CO/Dur 1/6/84 E.O.</p>

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61.	<p><u>Provider Master File</u></p> <p>System contains information on every provider which has furnished medical services reimbursed under this program. Data elements include provider number, name, address, and telephone number.</p> <p>Location of file: OSI</p> <p>Retain magnetic tape for 2 years at OSI, then transfer to FARC. Destroy when 10 years old.</p>		<p>WITHDRAWN CO/DCR 1/6/84 C.O.</p>
62.	<p><u>Claimant Information System (CIS)</u></p> <p>System is an on-line system tracing the life cycle of some 340,000 claims which have been filed under this program. This information is perpetually cumulative, and no closed cases are transferred to a history file. Data elements tracing the life cycle of each claim can be grouped into three types of information: (1) identification information on each miner including record number, Social Security number, name, date of birth, and certain geographic codes; (2) claim examination results, data including disability date, employment information, and initial determination; and (3) conference and hearing results information.</p> <p>Retain magnetic tapes for 2 years within agency, then transfer to FARC.. Destroy when 12 years old.</p>		<p>WITHDRAWN CO/DCR 1/6/84 C.O.</p>
63.	<p><u>Diary Action File</u></p> <p>An on-line system developed to service the numerous requests on the status of claims still in the processing stage, and especially Congressional inquiries. Arranged by date and events, the file records the processing of an application from arrival to termination. Numeric codes under each date refer to the type of information coming from the applicant in addition to the information (generally by form number) traveling from OWCP to the applicants.</p> <p>Retain magnetic tapes for 2 years, then transfer to FARC. Destroy when 8 years old.</p> <p>Federal Employees Compensation Act Machine-Readable Files</p>		<p>WITHDRAWN CO/DCR 1/6/84 C.O.</p>
64.	<p><u>OFEC Level II System</u></p> <p>This is a live (dynamic) file whereby reports are updated</p>		<p>WITHDRAWN CO/DCR 1/4/84</p>

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64.	on a daily basis. Records are deleted from this file by transfer to the "Deleted CMF" (see item 65 below). As the Level II system is implemented, a new CMF will be developed. File is to be maintained for 3 years after all OFEC District offices are converted to the new CMF.		
65.	<p><u>Deleted CMF</u></p> <p>Location of file: OSI</p> <p>At the end of level I save for one year.</p>		<p>C.O.</p> <p>WITHDRAWN</p> <p>R.O. <i>col/Prin</i> 1/6/84</p>
<p><u>MICROGRAPHICS CERTIFICATION</u></p> <p>This certifies that the microfilm records described in this schedule will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.</p>			