

Request for Records Disposition Authority

Records Schedule Number DAA-0434-2017-0003
 Schedule Status Approved

Agency or Establishment Department of Energy
 Record Group / Scheduling Group General Records of the Department of Energy
 Records Schedule applies to Major Subdivision
 Major Subdivision Office of Environment, Health, Safety and Security
 Schedule Subject SERT System
 Internal agency concurrences will be provided No

Background Information The Department of Energy (DOE) established the EEOICPA Program (the "Program") pursuant to the Energy Employees Occupational Illness Compensation Act (EEIOCPA) of 2000, 42 U.S.C. 7384 and developed the Secure Electronics Records Transfer (SERT) System to host the collection and review of EEOICPA claims of employees and former employees of DOE. SERT System access is shared with the U.S. Department of Labor (DOL) and the National Institute for Occupational Safety and Health (NIOSH). The system collects claimant requests and information needed to administer EEOICPA compensation claims, including information collected from DOL to establish the DOE employee case file. SERT System content includes claims numbers, request dates, and the full names, social security numbers, and dates of birth for claimants. The Program information collected is used to identify the appropriate servicing DOL district office and/or the NIOSH office making the request. Claimant information is aggregated to support DOE business uses, such as statistical reporting for pending cases, overdue cases, number of claims, and timeliness of Program responses.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

GAO Approval

0002

Outline of Records Schedule Items for DAA-0434-2017-0003

Sequence Number	
1	Master File Claims Data Disposition Authority Number: DAA-0434-2017-0003-0001
2	Master File Claims Support Files Disposition Authority Number: DAA-0434-2017-0003-0002

Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 690 411">Master File Claims Data</p> <p data-bbox="342 432 1153 464">Disposition Authority Number DAA-0434-2017-0003-0001</p> <p data-bbox="342 485 1524 642">Claims Data includes, but not limited to, SERT claim numbers, request dates, and claimants' full names, social security numbers, and dates of birth used to review and process claims; to generate pending and overdue case reports; and, to prepare claims and response metrics.</p> <p data-bbox="342 653 917 684">Final Disposition Temporary</p> <p data-bbox="342 705 852 737">Item Status Active</p> <p data-bbox="342 758 820 789">Is this item media neutral? Yes</p> <p data-bbox="342 810 820 947">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 data-bbox="342 957 820 1052">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="342 1083 657 1115">Disposition Instruction</p> <p data-bbox="342 1136 1485 1188">Cutoff Instruction Cut off when final DOE request response is issued.</p> <p data-bbox="342 1199 1169 1230">Retention Period Destroy 3 year(s) after cutoff</p> <p data-bbox="342 1262 657 1293">Additional Information</p> <p data-bbox="342 1314 950 1346">GAO Approval Not Required</p>
2	<p data-bbox="342 1388 803 1419">Master File Claims Support Files</p> <p data-bbox="342 1440 1153 1472">Disposition Authority Number DAA-0434-2017-0003-0002</p> <p data-bbox="342 1493 1524 1692">Claims Support Files include, but are not limited to, official request forms, letters and other supporting documentation comprised of claimant names, social security numbers and dates of birth, and the final DOE request responses issued to DOL and NIOSH, which are uploaded into SERT to correspond to respective SERT claims data.</p> <p data-bbox="342 1703 917 1734">Final Disposition Temporary</p> <p data-bbox="342 1755 852 1787">Item Status Active</p> <p data-bbox="342 1808 820 1839">Is this item media neutral? Yes</p> <p data-bbox="342 1860 820 1927">Do any of the records covered by this item currently exist in</p>

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

Disposition Instruction

Cutoff Instruction

Cut off when final DOE request response is issued.

Retention Period

Destroy 60 days after cutoff.

Additional Information

GAO Approval

Required and Received

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
04/24/2017	Certify	Troy Manigault	Director, Records Management Division	Office of the Chief Information Officer - Enterprise Records Management Division
06/30/2017	Submit for Concurrency	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/11/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/11/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/13/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Executive Summary

Summary

Department of Energy, Office of Health, Environment, Safety and Security requests disposition authority for records relating to tracking employee compensation claims and related supporting documents. These records are temporary because they have little or no research value.

Permanent Item Numbers

Federal Register Notice

Required

Publication Date

2017-05-30

Copies Requested

0

Comments Received

0