

INACTIVE - ALL ITEMS SUPERSEDED

Request for Records Disposition Authority

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

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

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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

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Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 686 411">Master File Claims Data</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0434-2017-0003-0001</p> <p data-bbox="345 485 1511 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="345 653 919 684">Final Disposition Temporary</p> <p data-bbox="345 705 873 737">Item Status Inactive</p> <p data-bbox="345 758 818 789">Is this item media neutral? Yes</p> <p data-bbox="345 810 818 842">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="345 863 818 894">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="345 915 1479 1052">Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2020-0013-0005 This item is inactive because it was superseded by DAA-0434-2020-0013-0005</p> <p data-bbox="345 1073 659 1104">Disposition Instruction</p> <p data-bbox="345 1125 1479 1157">Cutoff Instruction Cut off when final DOE request response is issued.</p> <p data-bbox="345 1178 1166 1209">Retention Period Destroy 3 year(s) after cutoff</p> <p data-bbox="345 1230 654 1262">Additional Information</p> <p data-bbox="345 1283 951 1314">GAO Approval Not Required</p>
2	<p data-bbox="345 1598 808 1629">Master File Claims Support Files</p> <p data-bbox="345 1650 1154 1682">Disposition Authority Number DAA-0434-2017-0003-0002</p> <p data-bbox="345 1703 1511 1892">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="345 1913 919 1944">Final Disposition Temporary</p>

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Item Status	Inactive
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
Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2020-0013-0006 This item is inactive because it was superseded by DAA-0434-2020-0013-0006
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

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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

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