

## 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 (EEOICPA) 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	<b>Master File Claims Data</b> Disposition Authority Number: DAA-0434-2017-0003-0001
2	<b>Master File Claims Support Files</b> Disposition Authority Number: DAA-0434-2017-0003-0002

Records Schedule Items

Sequence Number	
1	<p><b>Master File Claims Data</b></p> <p>Disposition Authority Number      DAA-0434-2017-0003-0001</p> <p><b>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.</b></p> <p>Final Disposition                      Temporary</p> <p>Item Status                                Active</p> <p>Is this item media neutral?            Yes</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?                            Yes</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        Cut off when final DOE request response is issued.</p> <p>Retention Period                         Destroy 3 year(s) after cutoff</p> <p><b>Additional Information</b></p> <p>GAO Approval                              Not Required</p>
2	<p><b>Master File Claims Support Files</b></p> <p>Disposition Authority Number      DAA-0434-2017-0003-0002</p> <p><b>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.</b></p> <p>Final Disposition                        Temporary</p> <p>Item Status                                Active</p> <p>Is this item media neutral?            Yes</p> <p>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 Concurrence	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