

Request for Records Disposition Authority

Records Schedule Number	DAA-0271-2017-0006
Schedule Status	Approved
Agency or Establishment	Office of Workers' Compensation Programs
Record Group / Scheduling Group	Records of the Office of Workers' Compensation Programs
Records Schedule applies to	Agency-wide
Schedule Subject	DIVISION OF ENERGY EMPLOYEES' OCCUPATIONAL ILLNESS COMPENSATION (DEEOIC)
Internal agency concurrences will be provided	Yes
Background Information	<p>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.</p> <p>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.</p> <p>This records schedule revises previously approved items to media neutral and modifies descriptions in previous schedules. EEOIC is responsible for maintaining these records throughout their lifecycle while under the responsibility of EEOIC. This records schedule applies to all organizational elements of EEOIC. This records schedule changes the following items:</p> <p>Supersedes: N1-271-06-1 Items: 2, 4, 5, 5/a-c, 6, 8, 8/a, 8/c2, 10, 10/b,d,e, 12, 12/b,d, 13, 13/b,d</p>

Obsoletes: N1-271-06-1 Items: 8/a, 8/b, 8/b.b, 8/b.b1, 8/b.b2, 8/c, 8/c1, 9, 9/a-c, 9/c.a-b, 9/d, 11, 11/a-d, 14, 14/a-b

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
12	1	11	0

GAO Approval

Outline of Records Schedule Items for DAA-0271-2017-0006

Sequence Number	
1	NATIONAL OFFICE
1.1	New Item: Correspondence
1.1.1	Congressional Correspondence Disposition Authority Number: DAA-0271-2017-0006-0001
1.1.2	New Item: General Correspondence Disposition Authority Number: DAA-0271-2017-0006-0002
2	NATIONAL AND DISTRICT OFFICES
2.1	Case Adjudication Files Disposition Authority Number: DAA-0271-2017-0006-0003
2.2	EEOICPA Bulletins, Circulars, Procedure Manuals, Transmittals, and Program Memorandums Disposition Authority Number: DAA-0271-2017-0006-0004
2.3	Financial Records
2.3.1	Form EN-20, Acceptance of Payment Form Disposition Authority Number: DAA-0271-2017-0006-0006
2.3.2	Benefits Transaction History Reports Disposition Authority Number: DAA-0271-2017-0006-0007
2.3.3	New Item: National Office Weekly Payment Packet Disposition Authority Number: DAA-0271-2017-0006-0008
2.4	Listing of Excluded Providers
2.4.1	Master File Disposition Authority Number: DAA-0271-2017-0006-0011
2.4.2	Related Correspondence Disposition Authority Number: DAA-0271-2017-0006-0012
2.5	New Item: Energy Compensation System (ECS)
2.5.1	Master File Disposition Authority Number: DAA-0271-2017-0006-0013
2.6	Energy Records Access Management (ERAM) System
2.6.1	Master File Disposition Authority Number: DAA-0271-2017-0006-0015
2.7	New Item: Overpayment Tracking System
2.7.1	Master File Disposition Authority Number: DAA-0271-2017-0006-0016

Records Schedule Items

Sequence Number	
1	NATIONAL OFFICE
1.1	New Item: Correspondence
1.1.1	Congressional Correspondence
	Disposition Authority Number DAA-0271-2017-0006-0001
	Includes, correspondence with Members of Congress, Members of the Senate, and White House staff relating to inquires made of behalf of their constituents.
	Final Disposition Temporary
	Item Status Active
	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
	GRS or Superseded Authority Citation N1-271-06-01 Item No. 2
	Disposition Instruction
	Cutoff Instruction Cut off at the end of annual year.
	Transfer to Inactive Storage Transfer to FRC or offsite storage if the volume warrants.
	Retention Period Destroy 10 years old after cut-off or when no longer needed.
	Additional Information
	GAO Approval Not Required
1.1.2	New Item: General Correspondence
	Disposition Authority Number DAA-0271-2017-0006-0002
	Includes, correspondence, memoranda, reports, studies, regulations, opinions, and other records relating to the DEEOIC program. Included are records related to policy, medical care, studies, compensation fund, audits, investigations, claims, hearings, court cases, litigations, regulations, opinions, outreach, advocate contact, advisory board, and technical assistances.

Final Disposition	Temporary
Item Status	Active
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
Disposition Instruction	
Cutoff Instruction	Cut off at the end of annual year.
Transfer to Inactive Storage	Transfer to FRC or offsite storage if the volume warrants.
Retention Period	Destroy 10 years old after cut-off or when no longer needed.

Additional Information

GAO Approval	Not Required
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NATIONAL AND DISTRICT OFFICES

Case Adjudication Files

Disposition Authority Number	DAA-0271-2017-0006-0003
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Case adjudication files documentation includes: claims, medical evidence, employment data, personal affidavits, interagency data, birth/marriage/death documents, designations of personal representative or power of attorney, radiation dose reconstruction material, toxic substance exposure analysis records, claim development correspondence, case adjudication documents (recommended or final decisions; remands; reconsideration or reopening, etc.), waivers, objection correspondence, testimony transcripts, appeal submissions, fiscal records, medical authorization information, travel reimbursements, litigation documentation, calculation worksheets, and claim memorandum.

Final Disposition	Temporary
Item Status	Active
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

2
2.1

2.2	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-271-06-01 Item No. 4
	Disposition Instruction	
	Cutoff Instruction	Cut off when program is completed/discontinued
	Transfer to Inactive Storage	Transfer to offsite storage 3 fiscal years after cut off or when no longer needed.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	EEOICPA Bulletins, Circulars, Procedure Manuals, Transmittals, and Program Memorandums	
	Disposition Authority Number	DAA-0271-2017-0006-0004
	<p>Bulletins describe policy and procedure changes, announce special case adjudication projects, or provide programmatic guidance on topics relevant to administering the EEOICPA. Circulars calls 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. Procedure Manuals provides staff guidance on the application of DEEOIC procedures, including file maintenance, case adjudication processes, and benefit assessment. Transmittals announce changes to the EEOICPA Procedure Manual. Program memorandum provide informational or background clarifications on program specific topics.</p>	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only
	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
	GRS or Superseded Authority Citation	N1-271-06-1 No. 5/a-c
	Disposition Instruction	

Cutoff Instruction Cut off files at end of fiscal year when superseded or obsolete.

Transfer to the National Archives for Accessioning Transfer to NARA 20 years after cut-off.

Additional Information

First year of records accumulation 2000

What will be the date span of the initial transfer of records to the National Archives? From 2017 To 2018

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	239 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.3 Financial Records

2.3.1 Form EN-20, Acceptance of Payment Form

Disposition Authority Number DAA-0271-2017-0006-0006

Includes Compensation Payments Form EN-20 recording payee banking information and payee signature accepting payment. These records were maintained separately until 2013. Since 2013 they have been maintained with the Case Adjudication File.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Paper records only.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

2.3.2	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-271-06-01 Item No. 8/b.a
	Disposition Instruction	
	Cutoff Instruction	Cut off when program is completed/discontinued
	Transfer to Inactive Storage	Transfer to FRC or offsite storage if the volume warrants.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Benefits Transaction History Reports	
	Disposition Authority Number	DAA-0271-2017-0006-0007
	Includes, weekly payment detail spreadsheet, prepared by district office, and electronic copy of Treasury payment records showing payment detail for all weekly compensation payments.	
	Final Disposition	Temporary
	Item Status	Active
	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
	GRS or Superseded Authority Citation	N1-271-06-01 Item No. 8/c1
	Disposition Instruction	
	Cutoff Instruction	Cut-off when program is completed/discontinued
	Transfer to Inactive Storage	Transfer to FRC or offsite storage if the volume warrants.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required

2.3.3

New Item: National Office Weekly Payment Packet

Disposition Authority Number DAA-0271-2017-0006-0008

Includes, BTHR, Medical Payment Transaction Reports, SF1166 Routing Sheets, and Payment Application Modernization (PAM) Treasury payment detail report. Contains payment detail for all weekly DO compensation payments.

Final Disposition Temporary

Item Status Active

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

Disposition Instruction

Cutoff Instruction Cut-off when program is completed/discontinued

Transfer to Inactive Storage Transfer to FRC or offsite storage if the volume warrants.

Retention Period Destroy 20 year(s) after cutoff

Additional Information

GAO Approval Not Required

2.4

Listing of Excluded Providers

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.

2.4.1

Master File

Disposition Authority Number DAA-0271-2017-0006-0011

Includes names, addresses, tax identification numbers and effective dates of all physicians excluded from receiving payment for services billed under EEOICPA.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in Yes

2.4.2

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**

GRS or Superseded Authority Citation **N1-271-06-01 Item No. 10/b**

Disposition Instruction

Cutoff Instruction **Cutoff when debarment case is closed**

Retention Period **Destroy 15 years after EEOICPA program closes**

Additional Information

GAO Approval **Not Required**

Related Correspondence

Disposition Authority Number **DAA-0271-2017-0006-0012**

Includes, 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.

Final Disposition **Temporary**

Item Status **Active**

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**

GRS or Superseded Authority Citation **N1-271-06-01 Item No. 10/d**

Disposition Instruction

Cutoff Instruction **Cut off files when debarment case is closed.**

Transfer to Inactive Storage **Transfer to offsite storage 2 fiscal years after cut off or when no longer needed.**

Retention Period **Destroy 15 years after EEOICPA program closes**

Additional Information

	GAO Approval	Not Required
2.5	New Item: Energy Compensation System (ECS) ECS provides on-line case create, case-management action 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 for approved medical conditions. 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.	
2.5.1	Master File Disposition Authority Number DAA-0271-2017-0006-0013 Includes claims for EEOICP benefits, personal claimant (employee or survivor) demographic information (e.g., Social Security Number, address, date of birth, financial, etc.); employee work history, radiation dose reconstruction calculation figures, case status data, compensation payment records, medical eligibility information and jurisdictional data (location and staff assignment). Final Disposition Temporary Item Status Active 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 Disposition Instruction Cutoff Instruction Cutoff when program is completed/discontinued Retention Period Destroy 15 year(s) after cutoff Additional Information GAO Approval Not Required	
2.6	Energy Records Access Management (ERAM) System ERAM is a web-based application and database that provides tracking, query, and report generation functionality. ERAM is a centralized client-server database application that resides on a file server with the Eagle Research Group, Inc. at their office complex in Hilliard, Ohio where it is maintained by Eagle Research Group Inc. and is accessible only by the allowed IP's of the Resource Centers. ERAM is used to assist EEOICPA claimants with the submission of their claims at DEEOIC's Resource Centers and provides tracking for Resource Center outreach services.	

2.6.1	<p>Master File</p> <p>Disposition Authority Number DAA-0271-2017-0006-0015</p> <p>Includes document all employee and survivor claims filed through DEEOIC's Resource Centers, including social security numbers, addresses, dates of birth and dates of death, receipt of supporting documentation e.g. occupational history questionnaires (OHQ), medical records, telephone calls, face-to-face entries, incoming and outgoing mail. Enter outreach events and number of claims filed as a result of the outreach event.</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>GRS or Superseded Authority Citation N1-271-06-01 Item No. 13/b</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff when program is completed/discontinued</p> <p>Retention Period Destroy 15 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2.7	<p>New Item: Overpayment Tracking System</p> <p>DEEOIC Policy Branch uses an electronic accounts receivable spreadsheet to manage debt tracking and collection actions. Medical and lump sum compensation debt processing activities are recorded for reporting to the Department of Treasury. Claims staff responsible for account management and data recording can access this data.</p>
2.7.1	<p>Master File</p> <p>Disposition Authority Number DAA-0271-2017-0006-0016</p> <p>Includes data relating to potential overpayment, overpayment designation status and collection actions, waiver/compromise figures, interest calculation, debt amounts, payment collections.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p>

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
Disposition Instruction	
Cutoff Instruction	Cutoff when overpayment case is closed or declared uncollectable
Retention Period	Destroy 10 year(s) after cutoff
Additional Information	
GAO Approval	Not Required

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
05/24/2018	Certify	Tanisha Bynum-Frazier	Supervisory Program Analyst	Department of Labor - OASAM
06/01/2018	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/03/2018	Submit For Certification	Yoon Ferguson	Lead Program Analyst	Office of Workers' Compensation Programs - Office of Workers' Compensation Programs
07/11/2018	Certify	Tanisha Bynum-Frazier	Supervisory Program Analyst	Department of Labor - OASAM
08/14/2020	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/01/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/03/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/03/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist