



Interoffice Communication

**Occupational Medicine**

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**Date:** September 28, 2012

**To:** Shawn Nelson  
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**From:** Carol Streit

**Subject:** **Topical Appraisal Report 2012: Energy Employees Occupational Illness Compensation Program (EEOICP)**

# **TOPICAL APPRAISAL REPORT**

## **EEOICP**

September 28, 2012

Carol Streit,  
Medical Administrator

## **1.0 Scope:**

This topical appraisal was conducted to review the Energy Employees Occupational Illness Compensation Program (EEOICP) at Ames Laboratory. The mission of the EEOICP is to provide lump-sum compensation and health benefits to eligible former workers of the Ames Laboratory and to certain survivors if the worker is deceased. Occupational Medicine assumed the duties of the EEOICP in April 2009. Previously the duties of this program were accomplished by Training and Records Management.

Occupational Medicine staff process all EEOICP claims by searching and collecting historic records regarding employment, health, and safety records of the claimant. The claim packet is reviewed by Training and Records Management, Human Resources, Occupational Medicine, and ESH&A. After the review is completed the claimant's records are copied and sent to DOE and DOL. Occupational Medicine processes approximately 200 claims per year.

This topical appraisal (TP) evaluates the EEOICP process for effectiveness and evaluates methods for improvement. A random selection of 10 EEOICP claims was evaluated using the following criteria:

1. Evaluation of number of days to process a claim.
2. Review of EEOICPA-Review of Records form 10200.148.
3. Special Exposure Cohort sign-off letter.
4. Access database date entry.

## **2.0 Dates:**

This review was conducted September, 2012.

## **3.0 Methodology:**

The methodology used to conduct the topical appraisal included the following:

### **3.1 References:**

The following references were consulted for informational purposes and / or to ensure that the current program was in compliance:

Energy Employees Occupational Illness Compensation Program Act of 2000  
Executive Order 13179  
DOL 20 CFR Parts 1 and 30  
HSS web page (<http://www.hss.energy.gov/healthsafety/fwsp/advocacy/>)  
DOL web page (<http://www.dol.gov/owcp/energy/>)  
10/25/06 Special Exposure Cohort Petition Letter of Support  
Ames Laboratory EEOICP web page

### **3.2 Program Documentation:**

The following program documentation was reviewed:

Ames Laboratory EEOICPA – Review of Records form 10200.148  
Occupational Medicine Claim's Check List  
EEOICPA Work-Flow  
SEC Petition Letter  
EEOICP Desk Reference

### **3.3 Training:**

Occupational Medicine staff is informally trained on the EEOICP process. Staff is trained using the EEOICP desk reference, Access database and corresponding EEOICP documentation.

### **3.4 Personnel Interviewed:**

Molly Daub, Training and Records Management  
Lynnette Witt, Human Resources  
Mike McGuigan, ESH&A

### **4.0 Assessment Results & Discussion**

A random selection of 10 EEOICP claims was evaluated using the four criteria listed below.

- 1) Evaluation of number of days to process a claim.
  - a. All EEOICP claims are required to be processed within 60 days. All 10 claims had been processed within the allotted time. On average, the claims had been processed within 19 days.
- 2) Review of EEOICPA-Review of Records form 10200.148.
  - a. This form is used by Training and Records Management, Human Resources, Occupational Medicine and ESH&A. As each entity reviews the EEOICP claim they search for documents for the claimant. When they have completed the process they sign this document and make notes. A copy is included in the claimant's file. All 10 claims had the appropriate signatures.
- 3) Special Exposure Cohort sign-off letter.
  - a. Special Exposure Cohorts (SECs) have been developed for former workers of the Ames Laboratory. If a claimant was employed within the designated dates of the SECs this letter is signed and included in the claimant's file. All 10 claims had the appropriate SEC documentation.
- 4) Access database date entry.
  - a. An Access database has been implemented, on a networked drive, on the Ames Laboratory computer system. This database is used to track all claims and includes demographic information, diagnosis, and the dates that a claim was received and processed. There was one claim file that did not have the ship date entered into the database. This finding was corrected immediately.

### **4.1 Strengths:**

The Laboratory has an effective process in place to support the Department of Energy's EEOICP. Occupational Medicine is actively engaged in the EEOICP process and has developed a good working relationship with other entities involved with the process.

### **4.2 Noteworthy Practices:**

The Laboratory has developed an effective program to process EEOICP claims in a timely manner. The Access database is a good tool to track former worker claims.

**4.3 Findings:**

The findings mentioned below are only findings for best management practices for demonstrating/documenting that the Laboratory is doing everything it can to meet the spirit of Executive Order 13423 and DOE Order 450.1A.

**Level 1 Findings:**

One claim file ship date had not been entered into the Access database. This finding was corrected on the spot.

**Level 2 Findings: None**

**Level 3 Findings: None**

**5.0 Overall Conclusions:**

The Laboratory has an effective EEOICP in place to process claims for former workers. Overall the Laboratory has a good system in place to record, review, and process claims. All personnel interviewed had no complaints, comments, or recommendations.

**6.0 Attachments: None**