



Department of Education and Early Development
 Division of Libraries, Archives & Museums
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 253 Schedule No: 07-253.1

DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT
 DIVISION OF WORKERS' COMPENSATION
 253 - DIVISION OF WORKERS' COMPENSATION

The agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention and Disposition Schedule (GARRDS), unless those records have been listed on this schedule.

Under AS 23.30.107(b) "medical or rehabilitation records in an employee's file maintained by the board are not public records subject to public inspections and copying under AS 40.25." Unless otherwise noted all record series are nonconfidential. This schedule supersedes #72206.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

Division Director	Signature of Division Director		Date
	*		6/25/08
Attorney General/Designee	Date	Commissioner of Administration/Designee	Date
*	7/9/08	*	8/1/08
State Archivist	Date	Records Analyst	Date
*	8/1/09	*	6/24/08

* = Original signatures held on file.

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>001.1 - Workers' Compensation Case Files (Originals) Series documents the claim for and award of benefits (death, permanent total disability, time loss/no time loss cases) and serves as the AK Worker's Compensation Board record of proceedings. Includes reports of injury/illness, medical reports, correspondence, legal filings, copies of Board decisions/order, compromise and release agreement, vocational rehabilitation reports/decisions, and Second Injury Fund reimbursements.</p>		M		<p>M = Until microfilmed.</p> <p>Authority: AS 23.30.</p> <p>Files are arranged chronologically and then numerically by case number. Case indexing is via the Legal Digest, an online database maintained on the departmental mainframe (item #003).</p> <p>Hearing audio cassette tapes are retained for seven years, recycled once and then destroyed.</p>
<p>001.2 - Workers' Compensation Case Files (Master Microfilm) Series documents the claim for and award of benefits (death, permanent total disability, time loss/no time loss cases) and serves as the AK Worker's Compensation Board record of proceedings. Includes reports of injury/illness, medical reports, correspondence, legal filings, copies of Board decisions/order, compromise and release agreement, vocational rehabilitation reports/decisions, and Second Injury Fund reimbursements.</p>	M	40	Y	
<p>001.3 - Workers' Compensation Case Files (Workcopy Microfilm) Series documents the claim for and award of benefits (death, permanent total disability, time loss/no time loss cases) and serves as the AK Worker's Compensation Board record of proceedings. Includes reports of injury/illness, medical reports, correspondence, legal filings, copies of Board decisions/order, compromise and release agreement, vocational rehabilitation reports/decisions, and Second Injury Fund reimbursements.</p>	M	40	Y	

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p>Retention Key</p> <p>A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office</p>	<p>Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p>Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>
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<p>002 - Workers' Compensation Board Orders & Decisions Records series consists of orders and decisions issued after board deliberation that documents the case decision and gives instructions regarding decision implementation.</p> <p>Arranged chronologically and then by case number.</p>		PA	Y	Indexing is via the Legal Digest (item #003). Record copy is located in the case file (item #001). 1984 and prior were microfilmed.
<p>003 - Legal Digest This database serves as an index to cases and contains synopsis of board orders and decisions. Searches may be made by case name, injury or legal citation.</p>	E	PO		Refer to 4 AAC 59.005 (Retention & Preservation of Electronic Records). The Legal Digest database is maintained on the department's mainframe.
<p>004.1 - Notice of Insurance Records (Originals) Under provisions of AS 23.30.085 employers are required to file a statement of insurance coverage.</p> <p>Files are arranged alphabetically.</p>	H	M	Y	M = Until microfilmed. Indexing is via the Insurance Coverage Compliance database (item #007).
<p>004.2 - Notice of Insurance Records (Master Microfilm) Under provisions of AS 23.30.085 employers are required to file a statement of insurance coverage.</p> <p>Files are arranged alphabetically.</p>	M	40	Y	
<p>004.3 - Notice of Insurance Records (Workcopy Microfilm) Under provisions of AS 23.30.085 employers are required to file a statement of insurance coverage.</p> <p>Files are arranged alphabetically.</p>	M	40	Y	

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<p>005 - Employer Insurance Investigation Case Files Violations Under provisions of 8 AAC 45.174 and AS 23.30.075 allegations of uninsured employers are investigated and violations are adjudicated or referred to the Department of Law for prosecution. Files include employer status information, correspondence, investigative reports, and board decisions and orders.</p> <p>Arranged alphabetically by employer.</p>		5		Cases administered in the Anchorage, Fairbanks, and Juneau offices.
<p>006.1 - Self-Insured Employer Files (Originals) Under provisions of AS 23.30.090 - 900 employers may apply for a certificate of self-insurance. Files include initial or renewal applications with supporting documentation, staff recommendations and board decisions.</p> <p>Arranged alphabetically by employer.</p>	H	C+5	Y	C = Until inactive. Indexing is via the Insurance Coverage Compliance database (item #007). There are approximately 20-30 self-insured employers statewide.
<p>006.2 - Self-Insured Employer Files (Master Microfilm) Under provisions of AS 23.30.090 - 900 employers may apply for a certificate of self-insurance. Files include initial or renewal applications with supporting documentation, staff recommendations and board decisions.</p> <p>Arranged alphabetically by employer.</p>	M	40	Y	
<p>006.3 - Self-Insured Employer Files (Workcopy Microfilm) Under provisions of AS 23.30.090 - 900 employers may apply for a certificate of self-insurance. Files include initial or renewal applications with supporting documentation, staff recommendations and board decisions.</p> <p>Arranged alphabetically by employer.</p>	M	40	Y	

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007 - Insurance Coverage Compliance This database stores information on employers, policy numbers, conditions of coverage and insurance companies.	E	PO		Refer to 4 AAC 59.005 (Retention & Preservation of Electronic Records). The Insurance Coverage Compliance database is maintained on the department's mainframe.
008.1 - Executive Officer Waiver Files, Granted (Originals) Under provisions of 8 AAC 45.184 certain persons may waive rights to benefits under AS 23. 30. Includes requests for waiver with supporting documentation. Arranged alphabetically by corporation name.	H	M	Y	M = After microfilmed. M = After microfilming. Originals are maintained for 1 year in office. The files are then filmed and two microfilms are produced: the workcopy is retained in the office and the master copy is sent to the records center. Original documentation may be destroyed after microfilm is certified "true & correct".
008.2 - Executive Officer Waiver Files, Granted (Master Microfilm) Under provisions of 8 AAC 45.184 certain persons may waive rights to benefits under AS 23. 30. Includes requests for waiver with supporting documentation. Arranged alphabetically by corporation name.	M	40	Y	
008.3 - Executive Officer Waiver Files, Granted (Workcopy Microfilm) Under provisions of 8 AAC 45.184 certain persons may waive rights to benefits under AS 23. 30. Includes requests for waiver with supporting documentation. Arranged alphabetically by corporation name.	M	40	Y	
009 - Executive Officer Waiver Files, Denied Refer to item #008.		2		

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<p>010 - Worker's Compensation Board Member Files This series documents administrative activities related to board members. It includes travel authorizations, personnel action request forms and attendance sheets.</p> <p>Arranged alphabetically by name of board member.</p>		TO+3		Annual accrual rate is less than one cubic foot.
<p>011 - Public or Regulatory Hearing Files Includes notice of meeting or hearing, agendas, proposed regulations, public comments, correspondence, audio cassette tapes and regulatory enactment documents.</p> <p>Arranged chronologically.</p>		C+15		C = Until regulations are superseded. With few exceptions, no transcriptions of audiotapes are produced. Justification for C+15 retention: Recommendation from Department of Law. Annual accrual rate is less than one cubic foot.
<p>012 - Second Injury Fund Reimbursement Files This series documents payments made from the Second Injury Fund. Files include correspondence, medical evaluations, exam sheets and reimbursement claims.</p> <p>Arranged alphabetically by claimant.</p>		C+15		C = For the duration of any outstanding/on-going claim. When a payment is made from the Second Injury Fund a letter is inserted into item #001. Justification for C+15 retention: Recommendation from Department of Law.
<p>013 - Claims Information Handling System System consists of claims/employer datafiles and serves as an index to cases providing basic information on each claim. Contains a soundex listing which allows a search by name, case number or SSN. Other screens include: claims, with the claimant's names and other descriptive data (including addresses, assigned code numbers) on the employer and insurer; payment; judicial; and, diary screen for miscellaneous comments.</p>		PO		Refer to 4 AAC 59.005 (Retention & Preservation of Electronic Records). This information system is located on the department's mainframe.

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<p>014 - Insurer's Annual Reports Under AS 23.30.155(m) & 8 AAC 45.136 each workers' compensation insurer, or the insurer's claims handling company, is required to submit an annual report by March 1 of each calendar year. The annual report is a summary of the total amount of benefits paid out by the insurer in the previous calendar year. The division uses these reports to compile statistical information on workers' compensation benefit payments in Alaska. Consists of correspondence, records of penalty assessments, and records of Second Injury Fund contributions pursuant to AS 23.30.040(b).</p>		C+2		<p>C = Until record is inactive.</p> <p>These records remain active until: the data has been captured into the Workers' Compensation database; the data has been reviewed and compared to an extract of the Workers' Compensation payment records; edit/error reports have been issued to insurers to address differences between the data submitted and the Workers' Comp data extract; edit/error reports have reconciled; penalty reports have been issued; or, penalty payments have been received.</p>

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