



DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
 Division of Libraries, Archives and Museums
 Archives and Records Management Services
 POB 110525, 141 Willoughby
 Juneau, AK 99811-0525
 465-2245; 465-2276/Voice; 465-2465/Fax

STATE OF ALASKA

Schedule Number: 72206

Agency ID #: 253

RECORDS RETENTION SCHEDULE

Page 1 of 6

DEPARTMENT OF LABOR & WORKFORCE DEVELOPMENT

DIVISION OF WORKERS' COMPENSATION

KEY

- A - After Audit
- CFY - Current Fiscal Year
- CY - Current Year
- P - Permanent
- C - Current or as defined
- Numerals - Years in addition to current year
- TO - Term of Office
- S/M - After Scanning/ Microfilming

The Agency will follow retention periods for common records as listed in the State of Alaska General Administrative Records Schedule #100.2, unless those records have been listed on this schedule.

Unless otherwise noted all records are retained on **Fiscal** year basis.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible retention in the Alaska State Archives in accordance with AS 40.21.030. Accessioned records may be reappraised for permanent value every four years or at the archivist's discretion.

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 records schedule supercedes #72205.

Statutory Authority: AS 23.05.067; AS 23.30.005 - 400; 8 AAC 45.010 - 900; 8 AAC 46.010 - 900.

Unless otherwise noted all original paper documents are destroyed after microfilm is certified "true and correct".

The primary purposes of the Division of Workers' Compensation are: to see that Alaska workers who suffer injury or illness arising from their employment are provided adequate medical care, prompt payment of benefits and if needed, voluntary rehabilitative services. The Division is the administrative arm of the Workers' Compensation Board and handles twenty to thirty thousand claims a year. The Division also mediates disputes and resolves issues between employees and employers, or their insurers.

NOTE: 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 below are approved for retention and disposition as indicated.

Division Director	State Archivist		Date	Attorney General	Date
Paul Lisankie	<i>Glen Cook</i>		8-1-09	<i>Craig J. Tilley</i>	7/9/08
Signature of Division Director/Designee	Date	Records Analyst	Date	Commissioner of Administration	Date
<i>Paul E. Lisankie</i>	6-25-08	<i>Christopher W. Hill</i>	6-24-08	<i>Ken Johnson</i>	8/1/08

DIVISION OF FINANCE

JUL 17 2008

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

72206

Page 2

Agency ID

253

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
1	<p>Worker's Compensation Case Files [Original]:</p> <p>[Master Microfilm]:</p> <p>[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>	C+1	-	-	M	X	<p>C=Until case inactive.</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 3).</p> <p>Hearing audio cassette tapes are retained for seven years, recycled once and then destroyed.</p>
2	<p>Worker's Compensation Board Orders & Decisions:</p> <p>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>	10	-	P	-	X	<p>Indexing is via the Legal Digest (Item 3).</p> <p>Record copy is located in the case file (Item 1).</p> <p>1984 and prior were microfilmed.</p>
3	<p>Legal Digest (Electronic):</p> <p>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>	P ¹	-	-	-		<p>Refer to 4 AAC 59.005 (Retention & Preservation of Electronic Records).</p> <p>The Legal Digest database is maintained on the Departmental mainframe.</p>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER 72206

72206

Page 3

Agency ID

253

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
4	<p>Notice of Insurance Records [Original]:</p> <p>[Master Microfilm]:</p> <p>[Workcopy Microfilm]:</p> <p>Under provisions of AS 23.30.085 employers are required to file a statement of insurance coverage.</p> <p>Files are arranged alphabetically.</p>	1	-	-	M	X	Indexing is via the Insurance Coverage Compliance database (Item 7).
		-	40	-	40		
		15	25	-	40		
5	<p>Employer Insurance Investigation Case Files Violations:</p> <p>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	-	-	5		Cases administered in the Anchorage, Fairbanks, and Juneau offices.
6	<p>Self-Insured Employer Files [Original]:</p> <p>[Master Microfilm]:</p> <p>[Workcopy Microfilm]:</p> <p>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>	C+5	-	-	C+5	X	<p>C=Until inactive.</p> <p>Indexing is via the Insurance Coverage Compliance database (Item 7).</p> <p>There are approximately 20-30 self-insured employers statewide.</p>
		-	40	-	40		
		15	25	-	40		

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
7	Insurance Coverage Compliance (Electronic): This database stores information on employers, policy numbers, conditions of coverage and insurance companies.	P	-	-	-		Refer to 4 AAC 59.005 (Retention & Preservation of Electronic Records). The Insurance Coverage Compliance database is maintained on the Departmental mainframe.
8	Executive Officer Waiver Files, Granted [Original]: [Master Microfilm]: [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.	C+1	-	-	M	X	C=Until inactive.
		-	40	-	40		
		15	25	-	40		
9	Executive Officer Waiver Files, Denied: Refer to Item 8.	2	-	-	2		

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER 72206

Page 5

Agency ID 253

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
10	<p>Worker's Compensation Board Member Files:</p> <p>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	-	-	TO+3		<p>TO=Term of office.</p> <p>Annual accrual rate is less than one cubic foot.</p>
11	<p>Public or Regulatory Hearing Files:</p> <p>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+15		<p>C=Until regulations are superceded.</p> <p>With few exceptions, no transcriptions of audiotapes are produced.</p> <p>Justification for "C+15" retention: Recommendation from Department of Law.</p> <p>Annual accrual rate is less than one cubic foot.</p>
12	<p>Second Injury Fund Reimbursement Files:</p> <p>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+15		<p>C=For the duration of any outstanding/on-going claim.</p> <p>When a payment is made from the Second Injury Fund a letter is inserted into Item 1.</p> <p>Justification for "C+15" retention: Recommendation from Department of Law.</p>

RECORDS RETENTION SCHEDULE CONTINUATION	SCHEDULE NUMBER 72206	Page 6
	Agency ID 253	

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
13	<p>Claims Information Handling System (Electronic):</p> <p>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>	P	-	-	-		<p>Refer to 4 AAC 59.005 (Retention & Preservation of Electronic Records).</p> <p>This information system is located on the Department mainframe.</p>
14	<p>Insurer's Annual Reports (Hardcopy & Electronic):</p> <p>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	-	-	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>
15	<p>GENERAL ADMINISTRATIVE RECORDS:</p> <p>Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing & Property; General Administrative; Personnel Administration; and, Information Technology.</p> <p>Workers' Compensation staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).</p>	-	-	See GRS	See GRS		<p>Destroy duplicate copies of records when no longer needed for business purposes.</p> <p>The General Schedule may be accessed on the Records Management homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.</p>