

REQUEST FOR RECORDS RETENTION SCHEDULE
To be Submitted to the Records Management Division
Hall of Records Commission

1. Requesting Agency

WORKMEN'S COMPENSATION COMMISSION

2. Division or Bureau of Requesting Agency

3. Authorization Requested (Check only one of the squares below).

A Dispose of present accumulation. No additional accumulation is anticipated. Records have ceased to have value to warrant retention.

B Establish retention schedule for records for which there is a continuing accumulation. The records will cease to have value to warrant their retention after the period of time indicated.

C Microfilm and destroy originals. Originals if not microfilmed would be retained for the period of time indicated.

4. Item No.

5. Description of Records

Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.

6. Recommendation of Hall of Records and Board of Public Works.

1. REPORTS FILE

FILING DIVISION

Dates: 1950 - -

Quantity: 14 drawers active for 5-month period
39 drawers semi-inactive for 2-year period
12 drawers inactive for 1-year period
10 cubic feet storage
(total, 107 cubic feet)

File Arrangement: Active - alphabetical by name of injured individual

Inactive - by year and alphabetical therein

Annual Accumulation: 6 drawers

Disposable Amount: 10 cubic feet

The Filing Department receives the Employer's First Report of Injury (Form S.F.-1), the Surgeon's Report (Form SF-2), the Employee's Claim for Compensation (Form 1-8/C7) and any correspondence received prior to the filing of the claim. At the time the claim is filed a claim folder is prepared, the claim number assigned, and a Certification of Insurance form (1-8-A-11) is prepared. The folder containing all documents filed regarding the claim is then forwarded to the Insurance Department.

Claims are filed for only about fifty per cent of the First Reports of Injury filed. When no claim is filed, the First Report and the Surgeon's Report are retained in the Filing Division for four years, after which they have no further value.

RECOMMENDATION: RETAIN FOR FOUR YEARS AND THEN DESTROY.

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7. Agency, Division or Bureau Representative

[Signature]
Signature

Chairman

Title

11/3/1959

Date

Schedule Authorized as Indicated in Col. 6 by Hall of Records Commission.

Disposal Authorized as Indicated in Col. 6 by Board of Public Works.

11/4/1959
Date

[Signature]
Archivist

NOV 9 1959
Date

[Signature]
Secretary

REQUEST FOR RECORDS RETENTION (SCHEDULE
(Continuation Sheet)

4. Item No.	5. Description of Records Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.	6. Recommendation of Hall of Records and Board of Public Works.
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2. CLAIM CARD

Size: 3" x 5"
 Dates: 1940 - -
 Quantity: 5 cubic feet in office and 12 cubic feet in storage
 File Arrangement: By year and alphabetical therein
 Annual Accumulation: 1 cubic foot
 Disposable Amount: 12 cubic feet

At the time a claim is filed the pre-numbered claim folder and claim card are prepared. The folder containing all data already on file is forwarded to the Insurance Division. The claim card is retained in the Reports File for two years as a ready reference. After that time it is removed and placed in a separate file for an additional year after which it has no further use.

RECOMMENDATION: RETAIN FOR FOUR YEARS AND THEN DESTROY.

INSURANCE DIVISION

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NOV 9 1959

Richard H. ...
SECRETARY

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3. COMPANY FOLDER

Dates: 1914 - -
 File Arrangement: Alphabetical
 Quantity: 192 drawers
 Annual Accumulation: 12 drawers
 Disposable Amount: 20 cubic feet (estimated)

These manila folders (5" x 16" folded to 5" x 8" folders) contain the insurance records of firms insured. Information on the folder is: name of company, location, nature of business, insurance policies, insurance carrier, and effective dates of policies. Any changes affecting these entries are also noted. Before the adoption of this folder form (1952), a 4" x 6" card (Form 108-A-7) was used showing the same information. These cards have been placed in the folders and are retained there until they are superseded by information on the folder, after which they then have no further value.

The Notice of Insurance (a 3" x 5" card, form A-10) is submitted by the insurance carrier as proof that the business is insured. Information on the card is: employer's name, address, type of business, annual payroll, annual premium, number of policy, effective dates of insurance, and the names of the insurer and the insurer's agent. This notice is valid as long as the policy is in effect. There is reference to it for claims processing purposes for another few years. After posting to the folder the card is also inserted in the folder. Cards which are five years old are removed and destroyed.

Folders of companies which have been out of business or have not

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carried insurance for five years are also removed and destroyed.

A. RECOMMENDATION: RETAIN THE NOTICE OF INSURANCE FOR FIVE YEARS AND THEN DESTROY.

B. RECOMMENDATION: RETAIN COMPANY FOLDERS WHILE ACTIVE AND FOR AN ADDITIONAL FIVE YEARS AND THEN DESTROY.

4. NOTICE OF CANCELLATION

Form No.: 108-A-5

Size: 7" x 8 1/2"

Dates: 1949 - -

Quantity: 7 drawers active, 10 cubic feet storage
(total, 16 cubic feet)

File Arrangement: By year and month and alphabetical there-in

Annual Accumulation: 2 1/2 cubic feet

Disposable Amount: 10 cubic feet

This notice is submitted by the policy holder. The information shown is: policy number and its effective dates, name of insured, type of business, address, date cancellation is to become effective. Cancellations are noted on the Company Folder (Item 3).

RECOMMENDATION: RETAIN FOR THREE YEARS AND THEN DESTROY.

5. ENDORSEMENTS

Dates: 1944 - -

Quantity: 2 drawers

File Arrangement: Numerical

Annual Accumulation: 4 linear inches

Disposable Amount: 1 drawer (1 1/2 cubic feet)

Any changes in the status of the policy-holder or of the policy in effect must be noted in the Commission's files. All such changes are endorsed by an authorized agent of the insurance carrier. The endorsements are numbered as they are received and this number and the change endorsed are noted on the Company Folders (Item 3).

RECOMMENDATION: RETAIN FOR FIVE YEARS AND THEN DESTROY.

6. JOINT ELECTION

Dates: 1944 - -

Quantity: 5 drawers in office and 5 boxes in basement
(total, 20 cubic feet)

File Arrangement: Alphabetical

Annual Accumulation: 1 drawer

Disposable Amount: 10 cubic feet

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SECRETARY	

REQUEST FOR RECORDS RETENTION (SCHEDULE
(Continuation Sheet)SCHEDULE
NO. 359PAGE
NO. 40

4. Item No.	5. Description of Records Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.	6. Recommendation of Hall of Records and Board of Public Works.
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This form is used by an employer having a policy covering employees engaged in "not extra-hazardous" occupations. The form must be signed by both the employer and each employee covered by the policy. This form is filed in conformance with Art. 101, Secs. 31 and 66 of the Annotated Code and Rule 23 of the Commission. Included in the file are letters from the employers giving the names of those persons no longer employed.

RECOMMENDATION: RETAIN FOR THREE YEARS AND THEN DESTROY.

STATISTICAL DIVISION

7. CODE SHEET

Size: 8½" x 14"

Dates: 1938 - -

Quantity: 20 volumes (7½ cubic feet)

File Arrangement: Numerical by claim number

This form shows the following information, all of which is recorded in numerical code: claim number, industry, insurance carrier, month, year, wage, age, cause of accident, nature, extent and location of injury, duration of disability, occupation, compensation awarded, medical fee, lump sum payment, attorney's fee, dependants - if injury fatal, and occupational disease. The code sheet is used to prepare IBM punch cards from which various statistical reports are prepared. The IBM cards are considered non-record within the meaning of the statute governing non-record material (Art. 41, Sec. 179 of the Annotated Code of Maryland, 1957 edition). The code sheets have continuing reference for research and additional statistical studies. For example, special studies have been made for the Heart Fund Association, Social Security, and Vocational Rehabilitation. The code sheets also serve as a reference source in lieu of claim folders filed outside the office.

RECOMMENDATION: RETAIN PERMANENTLY.

8. EMPLOYER INDEX TO CLAIMS

Size: 3" x 5"

Dates: 1948 - -

Quantity: 30 drawers, 4.5 cubic feet

File Arrangement: In two-year units and alphabetical by name of employer therein

Annual Accumulation: 3 drawers

Disposable Amount: 1 cubic foot

This index card is prepared for each employer against whom a claim for compensation has been filed by an employee. The card shows employer's name and address, insurance carrier, type of business,

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date of injury, and claim number. The index is used as an aid in establishing premiums for self-insurers and as a check against information noted on the code sheet in cases of error (Item 7).

RECOMMENDATION: RETAIN FOR SIX YEARS AND THEN DESTROY.

9. STATEMENT OF COMPENSATION PAID

Form No.: 5A
 Size: 8 1/2" x 11"
 Dates: January 1952 - -
 Quantity: 5 drawers plus 1 drawer in storage
 (total, 9 cubic feet)
 File Arrangement: Numerical
 Annual Accumulation: 1 1/2 drawers

This statement is filed with the Commission by the Claimant at the time the compensation awarded by the Commission has been paid. The form shows the amount received, the reason for the compensation, and the date the claimant returned to work. It is signed by the claimant and a witness. Prior to 1953 the form was filed in the appropriate claims folder. Since then it has been maintained separately for reference and statistical reasons. Since this form is not submitted until the award is paid, it may be as many as four or five years after the order of award was issued before the Statement is received.

RECOMMENDATION: FILE STATEMENT OF COMPENSATION PAID IN THE APPROPRIATE CLAIM FOLDER AS SOON AS IT IS RECEIVED.

DOCKET CLERK

10. CLAIM DOCKET

Size: 17" x 22"
 Dates: Nov. 1, 1935 - -
 Quantity: 3 1/2 volumes (includes 1 volume in storage)
 File Arrangement: Numerical
 Annual Accumulation: 2 volumes

Every claim filed with the Commission is entered in this docket; the following data is posted: claim number, claimant, employer, insurer, nature of injury, award, death payment, medical and attorney's fees.

RECOMMENDATION: RETAIN PERMANENTLY.

ACCOUNTING DIVISION

11. ADMINISTRATIVE ACCOUNTING RECORDS

Dates: 1937 - - (continued on next page)

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REQUEST FOR RECORDS RETENTION SCHEDULE
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Quantity: 4 drawers and 8 cubic feet in office and 2 trans-files in storage (total, 17 cubic feet)
 File Arrangement: Chronological
 Annual Accumulation: 1/2 drawer
 Disposable Amount: 10 cubic feet
 Audit: State

This item includes all standard accounting forms used by State agencies as supporting data to the final book of entry, the General Ledger. The final books of entry are to be retained permanently. Specifically these supporting records are:

Comptroller of the Treasury

Form No.

E-1-S E-1 and E-1/2 DD-1 R-2 (formerly MR-2)	Memorandum of Adjustment Distribution of Charges Transmittal Certificate of Deposit and Bank Deposit Slip Monthly Report of State Funds Collected and Deposited Distribution of Unexpended and Obligated Balances Monthly Statement of Balances
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Purchasing Bureau (Department of Budget and Procurement)

1-A 47-A 100-16 39-A and 40-A CF-2 CF-1 100/24 27-A CF-3 26-A 52 51	Requisition for Supplies Purchase Order Out-of-Schedule Requisition for Supplies Stores Requisition Copy of Contract Awarded Capital Fund Requisition for Equipment Actual Emergency and Repairs Report Copy of Contract Awarded Copy of Contract Awarded Delivery Invoice Notice of Award of Contract Credit Memorandum Report of Partial Delivery
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Budget Bureau (Department of Budget and Procurement)

EB-1 (Rev.) B.P. Inv. R101 B.P. Inv. R102 B.P. Inv. 6 Budget Form Nos. 1 through 11	Formerly EB-1 and EB-2 Budget Schedule Amendment Sheet Report of Fixed Assets (annual) Report of Materials and Supplies (annual) Materials and Supplies Physical Inventory (annual) Budget Estimates Fiscal Year (13 pages including farm statement)
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Others

- Vendors Invoices
- Bank Deposit Slips
- Bank Statements
- Bank Deposit Receipts
- Canceled checks
- Check stubs
- Sheriff's invoices
- Subpoenas (copies only - original in individual claim folder)
- Expense account invoices
- Daily time sheets
- Payroll Assessments Reports

RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

12. ACCOUNTING RECORDS FOR WHICH DISPOSAL HAS BEEN PROVIDED BY A GENERAL RECORDS RETENTION SCHEDULE.

PAYROLL (Prior to July 1, 1953). The agency copy of this payroll form is to be retained for five years or until audited, whichever is later, and then destroyed. (General Schedule No. G-1, Item 1d, approved by the Board of Public Works, January 11, 1954).

PAYROLL JOURNAL - The agency copy is to be retained for three years or until audited, whichever is later and then destroyed. (General Schedule No. G-2, Item 1-d, approved by the Board of Public Works, January 11, 1954).

PAYROLL EXCEPTIONS, ADDITIONS AND DEDUCTIONS - The agency copy is to be retained for three years or until audited, whichever is later, and then destroyed. (General Schedule No. G-2, Item 3-B, approved by the Board of Public Works, January 11, 1954).

PAY WARRANTS - The agency copy is to be retained for three years or until audited, whichever is later, and then destroyed. (General Schedule No. G-3, Item 3, approved by the Board of Public Works, May 10, 1954).

RECEIVING WARRANTS - The agency copy is to be retained for three years or until audited, whichever is later, and then destroyed. (General Schedule No. G-4, Item 3, approved by the Board of Public Works, May 10, 1954).

TRANSMITTAL FORM E-1 or E-1/2 (Comptroller of the Treasury Form) is to be retained for three years or until audited, whichever is later and then destroyed. (General Schedule No. G-5, Item 3, approved by the Board of Public Works, May 10, 1954).

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13. MASTER AUTHORIZATION

This State-wide form of the Commissioner of Personnel is the authorization for entering the employee's name on the payroll or for making any changes in the pay rate. It also shows all pay deductions.

RECOMMENDATION: RETAIN WHILE EMPLOYED AND FOR THREE YEARS AFTER DATE OF SEPARATION, OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

14. LEAVE RECORDS

File includes the following records:

- Leave record card - Form SEC 128-A, a standard State-wide form, prepared annually for each employee
- Leave applications
- Doctor's certificates

RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

15. SELF-INSURER'S FILE

- Dates: 1914 - -
- Quantity: 3 active and 2 inactive drawers (legal) in office and 1 transfile in storage (total, 12 cubic feet)
- File Arrangement: Alphabetical
- Annual Accumulation: 3 linear inches
- Disposable Amount: 2 cubic feet
- Audit: State

Upon approval of application and deposit of a surety bond with the Commission, a business firm becomes a self-insurer. A folder is established for each self-insurer containing the following records:

- D-1 Application for self-insurance
- D-2 Commission order to file Security Bond
- Surety Bond
- Correspondence
- Cancellations where submitted

The records of this file have value for many years although the self-insuring firm is no longer in business or is insured through a regular carrier. The reason for this lies in the fact that the surety is always liable for any compensation award ordered for disabilities which occurred during the period the surety bond was effective.

RECOMMENDATION: RETAIN PERMANENTLY.

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16. SPECIAL ACCOUNT AND SECOND INJURY FUND

Dates: 1945 - -
 Quantity: 1 drawer and 2 transfiles in storage
 File Arrangement: Chronological
 Annual Accumulation: 4 linear inches
 Disposable Amount: 2 transfiles (4 cubic feet)
 Audit: State

The Second Injury Fund was established in 1945 as a means of encouraging private industry to employ individuals already partially disabled. The records involved in the collection of this fund include the Ledger, the Order for Collection, and correspondence relating thereto. Disbursements from the fund are made by check on order of the Commission and are posted to a disbursements ledger. Orders for collection or disbursement are also filed in the individual Claim Folder.

- A. RECOMMENDATION: RETAIN LEDGERS PERMANENTLY.
- B. RECOMMENDATION: RETAIN ALL OTHER PAPERS FOR THREE YEARS AFTER LAST PAYMENT OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

17. SPECIAL ACCOUNT

Dates: 1947 - -
 Quantity: included in Item 16
 Audit: State

Compensation awarded a claimant is ordered by the Commission to be deposited in a lump sum by the organization charged with the payment. This is done primarily in cases involving payments to minors who were illegally employed and in instances where an employer was not insured and the Commission feels that the claimant is assured the compensation awarded will be received if it is deposited in this account and disbursed by the Commission.

A ledger showing receipts and disbursements is maintained by the Commission. Supporting data for the ledger entries are the order of payment, canceled checks, and correspondence. The order is also filed in the Claim Folder.

The recommendation below applies only to the supporting data to the ledgers. It does not include the ledgers, which are permanent records.

- A. RECOMMENDATION: RETAIN LEDGERS PERMANENTLY.
- B. RECOMMENDATION: RETAIN ALL OTHER PAPERS FOR THREE YEARS AFTER LAST PAYMENT OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

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GENERAL ADMINISTRATION

18. HEARING REPORTER'S NOTES

Dates: 1915 - -
 Quantity: 27 drawers, 71 check size transfiles in office;
 27 cubic feet storage; (total, 72 cubic feet)
 File Arrangement: Numerical
 Annual Accumulation: 20 transfiles

Stenotype or verbatim disc recordings are taken on all cases heard by the Commissioners. Up to 1953 one or two reporters took the notes in shorthand. Generally notes are transcribed only on cases which are appealed, but occasionally for other reasons. An estimated ten per cent of the notes are transcribed. A copy of the transcription is always filed in the claim folder. Recommendation "A" below cannot apply to notes transcribed from the recording discs as there are usually several cases reported on one disc.

- A. RECOMMENDATION: RETAIN TRANSCRIBED NOTES FOR THREE YEARS AND THEN DESTROY.
- B. RECOMMENDATION: RETAIN UNTRANSCRIBED NOTES FOR FIFTEEN YEARS AND THEN DESTROY.

19. COMMISSIONERS' DOCKETS

Size: 8½" x 11"
 Dates: 1947 - -
 Quantity: 15 cubic feet in office, 20 cubic feet storage
 (total, 25 cubic feet)
 File Arrangement: Chronological
 Annual Accumulation: 4 linear feet (2½ cubic feet)

A Docket sheet is prepared for each case to be heard. It shows name of Commissioners hearing case, claimant's name, employer's name, insurer. The Commissioners usually jot notes on the sheet during the hearing and refer to them in formulating their award decisions. After the award has been made there is very rare reference to the Docket sheets.

RECOMMENDATION: RETAIN FOR THREE YEARS AND THEN DESTROY.

MEDICAL BOARD

20. HEARING REPORTER'S NOTES

Dates: 1942 - -
 Quantity: 2 drawers, office; 3 drawers, storage
 (total, 7½ cubic feet)
 File Arrangement: Numerical
 Annual Accumulation: ½ cubic foot

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4.
Item
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5. Description of Records

Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.

6. Recommendation of Hall of Records and Board of Public Works.

File contains the shorthand notes of testimony taken during hearings of the Medical Board. About forty per cent of these notes are transcribed and one copy of the transcription is filed in the Claim Folder.

- A. RECOMMENDATION: RETAIN TRANSCRIBED NOTES FOR THREE YEARS AND THEN DESTROY.
- B. RECOMMENDATION: RETAIN UNTRANSCRIBED NOTES FOR FIFTEEN YEARS AND THEN DESTROY.

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