

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE**

Schedule No. **1565**  
Page **1** of **3**

Agency Workers' Compensation Commission 6 North Liberty Street, Baltimore, MD 21201		Division/Unit Claim Processing Group
Item No.	Description	Retention
	<b>SUPERSEDES SCHEDULE NUMBER 1202</b>	
1	<p><u>Insurer Reference Files.</u></p> <p>Insurer reference files contain documents and records pertaining to insurance companies licensed to underwrite workers' compensation insurance policies in the State of Maryland. Documents and records include some or all of the following types of material:</p> <p align="center">Company identification documents/data Location: Home/Local Offices Policy information Policy holder information</p>	Maintain as working files only. Destroy when obsolete or superseded.
2	<p><u>Policy and Endorsement Files.</u></p> <p>Policy and endorsement files contain documents and records which substantiate the form of current compensation insurance policies and their endorsements, or which reflect changes in the status of policy holders or policies in effect; must be noted by the authorized agent of specific insurance carriers.</p>	Maintain as working files only. Destroy when obsolete or superseded. [NCCI Proof-of-Coverage System (POCS) utilized to verify coverages for applicable claims; material generated in the context of specific claims is filed with the applicable claim file and retained as claim file material.]
3	<p><u>Employer Reference Files.</u></p> <p>Employer reference files contain documents and records pertaining to employers doing business in the State of Maryland who are not self-insured. Documents and records include some or all of the following types of material:</p> <p align="center">Company identification documents/data Location: Home/Local Offices Federal Employer ID Number (FEIN) Policy compliance information</p>	Maintain as working files only. Destroy when obsolete or superseded.

Schedule Approved by Department, Agency, or Division Representative.  
DATE: 24 November 1995  
Signature: *R. Rex Brookshire II*  
Typed Name: R. Rex Brookshire II  
Title: Director of Administration

Schedule Authorized by State Archivist:  
**FEB 2 1996**  
Date: \_\_\_\_\_  
Signature: *Edward C. Saperstein*

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

Schedule No. 1565

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Agency	Division/Unit	
Workers' Compensation Commission 6 North Liberty Street, Baltimore, MD 21202	Claim Processing Group	
Item No.	Description	Retention
<b>SUPERSEDES SCHEDULE NUMBER 1202</b>		
4	<p><u>Self-Insured Employer Reference Files.</u></p> <p>Self-insured employer reference files contain documents and records pertaining to employers doing business in the State of Maryland who are self-insured for workers' compensation or who have applied to be self-insured. Documents and records include some or all of the following types of material:</p> <p style="padding-left: 40px;">Company identification documents/data Location: Home/Local Offices Federal Employer ID Number (FEIN) Financial data and reports</p>	<p>Maintain as working files only. Destroy when obsolete or superseded.</p>
5	<p><u>Corporate and Partnership Election Files.</u></p> <p>These reference files contain forms and correspondence which reflect the elections made by corporate officers and partnership members to be or not to be included within the workers' compensation insurance programs of their companies.</p>	<p>Maintain as working files only. Destroy when obsolete or superseded.</p>
6	<p><u>Stenographic Notes.</u></p> <p>These records are Hearing Reporters' paper stenographic output reflecting proceedings before the Commission. Each set of notes is wrapped in a cover sheet containing identification data.</p>	<p><u>Transcribed Notes:</u> Retain in local files for 3 years, then destroy.</p> <p><u>Untranscribed Notes:</u> Retain in local files for 2 years, then transfer to Records Center; retain for 15 years, then destroy.</p>
7	<p><u>Docket Reference Files.</u></p> <p>Docket reference files contain summary sheets for each scheduled hearing docket which reflect for each case a claim number, claimant's name, location, and disposition/result. Calendar sheets reflect month-at-a-glance assignments of commissioners to Baltimore City or county site hearing locations.</p>	<p>Maintain as working papers only. Destroy when no longer needed for reference, obsolete, or superseded.</p>

DEPARTMENT OF GENERAL SERVICES  
 RECORDS MANAGEMENT DIVISION  
**RECORDS RETENTION AND DISPOSAL SCHEDULE**  
 (Continuation Sheet)

Schedule No. 1565

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Agency Workers' Compensation Commission 6 North Liberty Street, Baltimore, MD 21202		Division/Unit Claim Processing Group
Item No.	Description	Retention
	<b>SUPERSEDES SCHEDULE NUMBER 1202</b>	
8	<p><u>First Reports of Injury Reference Files.</u></p> <p>These reference files contain First Reports of Injury/Occupational Illness which were submitted by employers but no claim was filed by an employee pertaining to the report.</p>	Scan/Index paper document upon receipt to record on optical disk media; retain paper documents for 3 month verification period, then destroy. Retain optical file for 50 years, then destroy.
9	<p><u>Policy Cancellation Reference Files.</u></p> <p>These reference files contain notices of cancellation received from insurance carriers prior to May 1, 1987. Cancellation notices are currently sent to the Commission's designated agent, the National Council of Compensation Insurance (NCCI), Boca Raton, FL, where they are maintained by that company until integrated into its Proof of Coverage System (POCS).</p>	Retain cards until microfilmed or copied onto optical media, then destroy originals. Maintain microfilmed or electronic images for 50 years, then destroy.
10	<p><u>Claim Processing Statistical Reference Files.</u></p> <p>These reference files contain charts, graphs, tables, and narrative information which reflect the agency's claim processing activity for specified periods and similar data relating to claimants, attorneys, employers, insurers, and other participants in the compensation process. These files are used as performance indicators, for trend identification, and for historical purposes.</p>	Maintain as working papers until no longer needed for reference, obsolete, or superseded, then destroy. (Files of historical significance are incorporated into appropriate annual or special reports for permanent retention.)
11	<p><u>Employee Claim Files</u></p> <p>Documents and records associated with the claims of injured workers filed with the Commission in accordance with the Workers' Compensation Act. Each claim file is assigned a unique identifying number of one letter followed by six numerical digits; e.g., B123456. Each claim file contains various types and classifications of documents as needed for the adjudication and processing of that particular claim.</p>	<p>Scan/Index documents upon receipt to record on optical disk media; retain paper documents for 3-month verification period, then destroy. Retain optical media for 50 years, then destroy.</p> <p><u>Nonelectronic Files:</u> Retain for 5 years from date of last action, then transfer to microfilm. Destroy paper documents after microfilming; retain microfilm for 50 years, then destroy.</p>

ALLEGRA 10/2/95 - Type of public  
separate form for each new/revise  
electronic record series. Forward with  
Records Retention Schedule (DGS 550-1)  
COMAR 14.18.04

RECORDS MANAGEMENT DIVISION  
7275 Waterloo Road, P.O. Box 275  
Jessup, Maryland 20794  
(410) 799-1930

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1. DEPARTMENT/AGENCY  
Workers' Compensation Commission  
6 North Liberty St. BA, MD 21201

2. DIVISION  
Claim Processing Group

3. UNIT

DEFINITION - Record Series - A group of related records stored electronically and used as a unit for reference as well as retention and disposition purposes.

4. ELECTRONIC RECORD SERIES TITLE  
First Report of Injury Reference Files

5. EARLIEST YEAR/LATEST YEAR  
1945 TO 1995

6. INPUT - Identify source of information to be entered  
First Report documents filed by employers with the Commission as required by the Workers' Compensation Act.

7. OUTPUT - Identify use/s of information generated by system  
Filed documents establish relevant time period for statute of limitations; matched to claim document (if any is filed).

8. ELECTRONIC RECORD SERIES DESCRIPTION - Briefly describe the information/documents/forms contained in a series. Include purpose and function of the system.  
First Report of Injury Reference Files contain First Reports of Injury/Occupational Illness which are filed by employers in compliance with the Workers' Compensation Act but which are not subsequently followed up with a claim filed by an injured worker. Forms are date stamped upon receipt by the Commission and immediately scanned and indexed into the agency's electronic claim management information system. A record of the form is engraved by laser onto optical disk media. It is retrievable by claimant's social security number, name, and/or date of accident. First Reports of Injury/Occupational Illness contain information relating to the identity of the injured worker, the employer, the employer's insurance carrier, and the facts and circumstances relating to the accidental injury as reported by the employer.

9. POLICY ON ACCESS AND USE - Explain or attach copy if established in writing.  
With the exception of medical documentation, all documents filed with the Commission are public records and are available for inspection, review, and use (to include reproduction) by any member of the public.

10. UPDATING CYCLES OR CONDITIONS AND RULES FOR REVISING INFORMATION IN THE SYSTEM  
All compensation documents committed to the electronic claims management system, to include historical agency documents not relating to specific claims, must be preserved for future reference throughout the prescribed retention period for each type of document. The agency has established no specific update or revision cycle for the migration of its electronic records but estimates that this will occur approximately every ten (10) years as current equipment wears out and requires replacement. The acquisition of upgraded imaging equipment will require prospective vendors to warrant that the replacement equipment can retrieve/reproduce accurate images from the optical disks maintained by the agency or, alternatively, the acquisition will include provision for image migration to a new format.

11. SPECIFY THE LOCATION AND MEDIA OF THE MAIN ELECTRONIC DATA FILE. Explain the progression established to ensure the record's retention and usability throughout the record's authorized life cycle.  
Optical platters containing First Reports are housed either in the FileNet Optical Storage and Retrieval Library (OSAR) or on nearby shelving in the agency's Computer Operations Center (for those records that are off-line but active). Duplicate (mirrored) copies are maintained in a separate location off-site to provide for security and disaster recovery.

12. RECOMMENDED RETENTION  
Fifty (50) years from the date of filing.

13. TYPED OR PRINTED NAME OF PREPARER  
R. Rex Brookshire II

14. TELEPHONE NUMBER  
(410) 767-0829

15. DATE  
11 September 1995

16. TITLE OF PREPARER  
Director of Administration

FOR PERMANENT RECORDS COMPLETE ALSO  
DGS 550-6A

electronic record series. Forward with  
Records Retention Schedule (DGS 550-1)  
COMAR 14.18.04

275 Waterton Road, P.O. Box 275  
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(410) 799-1930

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1. DEPARTMENT/AGENCY  
Workers' Compensation Commission  
6 North Liberty St. BA, MD 21201

2. DIVISION  
Claim Processing Group

3. UNIT

DEFINITION - Record Series - A group of related records stored electronically and used as a unit for reference as well as retention and disposition purposes.

4. ELECTRONIC RECORD SERIES TITLE  
Employee Claim Files

5. EARLIEST YEAR/LATEST YEAR  
1945 TO 1995

6. INPUT - Identify source of information to be entered  
Documents and records filed by parties to compensation claims in accordance with the Workers' Compensation Act or agency regulations.

7. OUTPUT - Identify use/s of information generated by system  
Filed documents used by parties and the agency for the processing and adjudication of claims.

8. ELECTRONIC RECORD SERIES DESCRIPTION - Briefly describe the information/documents/forms contained in a series. Include purpose and function of the system.  
Documents and records associated with the claims of injured workers filed with the Commission in accordance with the Workers' Compensation Act. Each claim file is assigned a unique identifying number of one letter followed by six numerical digits; e.g., B123456. Each claim file contains various types and classifications of documents as needed for the adjudication and processing of that particular claim, to include claim forms, medical reports and evaluations, issues, correspondence, transcripts, hearing notices, and similar materials. Key indices: Claim Number, Claimant Name, Claimant SSN, Date of Accident, File Date.

9. POLICY ON ACCESS AND USE - Explain or attach copy if established in writing.  
With the exception of medical documentation, all documents filed with the Commission are public records and are available for inspection, review, and use (to include reproduction) by any member of the public.

10. UPDATING CYCLES OR CONDITIONS AND RULES FOR REVISING INFORMATION IN THE SYSTEM

All compensation documents committed to the electronic claims management system, to include historical agency documents not relating to specific claims, must be preserved for future reference throughout the prescribed retention period for each type of document. The agency has established no specific update or revision cycle for the migration of its electronic records but estimates that this will occur approximately every ten (10) years as current equipment wears out and requires replacement. The acquisition of upgraded imaging equipment will require prospective vendors to warrant that the replacement equipment can retrieve/reproduce accurate images from the optical disks maintained by the agency or, alternatively, the acquisition will include provision for image migration to a new format.

11. SPECIFY THE LOCATION AND MEDIA OF THE MAIN ELECTRONIC DATA FILE. Explain the progression established to ensure the record's retention and usability throughout the record's authorized life cycle.

Optical platters containing Employee Claim Files are housed either in the FileNet Optical Storage and Retrieval Library (OSAR) or on nearby shelving in the agency's Computer Operations Center (for those records that are off-line but active). Duplicate (mirrored) copies are maintained in a separate location off-site to provide for security and disaster recovery.

12. RECOMMENDED RETENTION

Fifty (50) years from the date of filing.

13. TYPED OR PRINTED NAME OF PREPARER  
R. Rex Brookshire II

14. TELEPHONE NUMBER  
(410) 767-0829

15. DATE

11 September 1995

16. TITLE OF PREPARER

Director of Administration

FOR PERMANENT RECORDS COMPLETE ALSO  
DGS 550-6A

DGS 550-6

<b>INSTRUCTIONS</b> - Type or print a separate form for each new/revised electronic record series. Forward with Records Retention Schedule (DGS 550-1) COMAR 14.18.04		<b>DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION</b> 7275 Waterloo Road, P.O. Box 275 Jessup, Maryland 20794 (410) 799-1930		<b>ELECTRONIC RECORDS INVENTORY</b>  Page <u>3</u> of <u>4</u>	
<b>1. DEPARTMENT/AGENCY</b> Workers' Compensation Commission 6 North Liberty St. BA, MD 21201		<b>2. DIVISION</b> Administration & Support Group		<b>3. UNIT</b>	
<b>DEFINITION</b> - Record Series - A group of related records stored electronically and used as a unit for reference as well as retention and disposition purposes.					
<b>4. ELECTRONIC RECORD SERIES TITLE</b> Accounts Receivable Files				<b>5. EARLIEST YEAR/LATEST YEAR</b> <u>1975</u> TO <u>1995</u>	
<b>6. INPUT</b> - Identify source of information to be entered Reports of insured payroll, maintenance assessment calculations, detail account records and similar material used in the fiscal management of the agency.			<b>7. OUTPUT</b> - Identify use/s of information generated by system Annual maintenance assessment upon carriers, penalties and fines for regulatory noncompliance.		
<b>8. ELECTRONIC RECORD SERIES DESCRIPTION</b> - Briefly describe the information/documents/forms contained in a series. Include purpose and function of the system.  Detail account records are the source documents for fines, assessments, and penalties imposed by the commission as well as a record of payment for the carrier / account involved.					
<b>9. POLICY ON ACCESS AND USE</b> - Explain or attach copy if established in writing. With the exception of medical documentation, all documents filed with the Commission are public records and are available for inspection, review, and use (to include reproduction) by any member of the public.					
<b>10. UPDATING CYCLES OR CONDITIONS AND RULES FOR REVISING INFORMATION IN THE SYSTEM</b>  All compensation documents committed to the electronic claims management system, to include historical agency documents not relating to specific claims, must be preserved for future reference throughout the prescribed retention period for each type of document. The agency has established no specific update or revision cycle for the migration of its electronic records but estimates that this will occur approximately every ten (10) years as current equipment wears out and requires replacement. The acquisition of up-graded imaging equipment will require prospective vendors to warrant that the replacement equipment can retrieve/reproduce accurate images from the optical disks maintained by the agency or, alternatively, the acquisition will include provision for image migration to a new format.					
<b>11. SPECIFY THE LOCATION AND MEDIA OF THE MAIN ELECTRONIC DATA FILE.</b> Explain the progression established to ensure the record's retention and usability throughout the record's authorized life cycle.  Optical platters containing detail account records of Accounts Receivable Files are housed either in the FileNet Optical Storage and Retrieval Library (OSAR) or on nearby shelving in the agency's Computer Operations Center (for those records that are off-line but active). Duplicate (mirrored) copies are maintained in a separate location off-site to provide for security and disaster recovery.					
<b>12. RECOMMENDED RETENTION</b>  Twenty (20) years from the date account becomes inactive.					
<b>13. TYPED OR PRINTED NAME OF PREPARER</b> R. Rex Brookshire II		<b>14. TELEPHONE NUMBER</b> (410) 767-0829		<b>15. DATE</b> 11 September 1995	
<b>16. TITLE OF PREPARER</b> Director of Administration		FOR PERMANENT RECORDS COMPLETE ALSO DGS 550-6A			
DGS 550-6					

<b>INSTRUCTIONS</b> - Type or print a separate form for each new/revised electronic record series. Forward with Records Retention Schedule (DGS 550-1) MAR 14, 18, 04		<b>DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION</b> 7275 Waterloo Road, P.O. Box 275 Jessup, Maryland 20794 (410) 799-1930		<b>ELECTRONIC RECORDS INVENTORY</b>  Page <u>4</u> of <u>4</u>	
<b>1. DEPARTMENT/AGENCY</b> Workers' Compensation Commission 6 North Liberty St. BA, MD 21201		<b>2. DIVISION</b> Administration & Support Group		<b>3. UNIT</b>	
<b>DEFINITION</b> - Record Series - A group of related records stored electronically and used as a unit for reference as well as retention and disposition purposes.					
<b>4. ELECTRONIC RECORD SERIES TITLE</b> Annual and Special Report Files				<b>5. EARLIEST YEAR/LATEST YEAR</b> <u>1914</u> TO <u>1995</u>	
<b>6. INPUT</b> - Identify source of information to be entered Documents and records generated by members of the agency staff during the course of operations/activities.			<b>7. OUTPUT</b> - Identify use/s of information generated by system Statistical analyses, trend identifications, summaries, narratives, and related materials.		
<b>8. ELECTRONIC RECORD SERIES DESCRIPTION</b> - Briefly describe the information/documents/forms contained in a series. Include purpose and function of the system.  Annual and Special Report Files contain documents and records which constitute the official reports and records of the Commission as provided to the Governor and the General Assembly concerning agency-related programs, activities, or operations. This file series also contains the official minutes of monthly Commission Meetings.					
<b>9. POLICY ON ACCESS AND USE</b> - Explain or attach copy if established in writing. With the exception of medical documentation, all documents filed with the Commission are public records and are available for inspection, review, and use (to include reproduction) by any member of the public.					
<b>10. UPDATING CYCLES OR CONDITIONS AND RULES FOR REVISING INFORMATION IN THE SYSTEM</b>  All compensation documents committed to the electronic claims management system, to include historical agency documents not relating to specific claims, must be preserved for future reference throughout the prescribed retention period for each type of document. The agency has established no specific update or revision cycle for the migration of its electronic records but estimates that this will occur approximately every ten (10) years as current equipment wears out and requires replacement. The acquisition of up-graded imaging equipment will require prospective vendors to warrant that the replacement equipment can retrieve/reproduce accurate images from the optical disks maintained by the agency or, alternatively, the acquisition will include provision for image migration to a new format.					
<b>11. SPECIFY THE LOCATION AND MEDIA OF THE MAIN ELECTRONIC DATA FILE.</b> Explain the progression established to ensure the record's retention and usability throughout the record's authorized life cycle.  Optical platters containing annual and special report files are housed either in the FileNet Optical Storage and Retrieval Library (OSAR) or on nearby shelving in the agency's Computer Operations Center (for those records that are off-line but active). Duplicate (mirrored) copies are maintained in a separate location off-site to provide for security and disaster recovery.					
<b>12. RECOMMENDED RETENTION</b>  Permanent.					
<b>13. TYPED OR PRINTED NAME OF PREPARER</b> R. Rex Brookshire II		<b>14. TELEPHONE NUMBER</b> (410) 767-0829		<b>15. DATE</b> 11 September 1995	
<b>16. TITLE OF PREPARER</b> Director of Administration				FOR PERMANENT RECORDS COMPLETE ALSO DGS 550-6A	
DGS 550-6					

6. FOR GEOGRAPHIC INFORMATION SYSTEMS, Description of the physical and technical characteristics of the records, including a data dictionary, a quality and accuracy report, and a description of the graphic data structure, such as recommended by the "Spatial Data Transfer Standards (SDTS)(FIPS Pub 173, 1992 August 28)" and "Content Standards for Digital Spatial Metadata (March 31, 1994)."

7. DESCRIPTION OF THE BACKUP SECURITY PLAN BY MEANS OF WHICH PERMANENT AND NONPERMANENT ELECTRONIC RECORDS SHALL BE PRESERVED AND MADE ACCESSIBLE TO GOVERNMENT AND THE PUBLIC THROUGHOUT THE ELECTRONIC RECORDS LIFE CYCLE, INCLUDING ANY ADDITIONAL TECHNICAL INFORMATION, SOFTWARE, OR PLATFORMS NEEDED TO READ, COPY OR PROCESS THE RECORDS.

The Commission's electronic claims information system has been designed with redundant security measures. All documents indexed into the system or generated by the system itself are duplicated or "mirrored" so that two copies of each image are made onto separate optical platters. The backup platter is stored off-site to avoid destruction in the event of a disaster affecting the agency's headquarters. The Commission has contracted for a "hot site" to be made available in the event of a disaster or other event which has caused the destruction or nonoperability of the agency's computer. Backup platters will be taken to the hot site and operations restored within 24-48 hours.

System records are accessible through multiple terminals located throughout the Commission to include four terminals located in the public service area on the 9th floor. Plans call for the expansion of this facility to eight terminals. The system may also be accessed remotely by any user having an IBM-compatible PC equipped with a modem. Remote users may contact the agency and obtain a password free of charge by which they may gain access to the system. Communication software is also provided free of charge. Users have the option of selecting documents on file for transmission to them via facsimile machine. On selecting this mode of operation, the system's FAX server will download the selected image(s) and transmit them directly to the requester.