



RECORDS RETENTION AND DISPOSITION SCHEDULE

Personnel, Department of. Benefits, Disability And Worker's Compensation

| Agency: Benefits, Disability And Worker's Compensation Division: | | | |
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| ITEM NO. | RECORD SERIES | TITLE/DESCRIPTION <i>(This Retention Schedule is approved on a space-available basis)</i> | RETENTION PERIOD |
| 1 | 2002-36 | <p>WORKERS' COMPENSATION CLAIM FILES</p> <p>These records consist of the Employer's First Report of Injury, Illness, State Form Number 34401(R, 01/2002); medical information, correspondence from health providers, the claimant or attorneys, or the state government agency in which the claimant worked, agreements to compensation for temporary wage replacement and impairment settlement, official notices, and case manager notes. Some files contain a payment record. These records are developed and maintained by the State Personnel Department and by its Third Party Administrator (TPA) who sets up and administers claims per the contract. Confidential, [IC 5-14-3-4(a)(9), and IC 5-14-3-4(b)(8)(A), (2001 IC Supplement)] Retention partially based on IC 34-13-1-1, (1998 Edition), plus the advice of the attorney for the State Personnel Department.</p> | <p>When files are CLOSED, TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year in which the claim was closed and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional twenty-three (23) years in the RECORDS CENTER. TOTAL RETENTION: Twenty-five (25) years after the end of the fiscal year in which the claim was closed and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p> <p>The Third Party Administrator will maintain these records as required pursuant to the contract and then TRANSFER these records to the STATE PERSONNEL DEPARTMENT for maintenance, TRANSFER and destruction in accordance with the latest approved Records Retention and Disposition Schedule for the Benefits, Disability and Workers' Compensation Division for the STATE PERSONNEL DEPARTMENT.</p> |
| 2 | 89-145 | <p>COBRA FILES (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT)</p> <p>Consolidated Omnibus Budget Reconciliation Act (COBRA). This file contains offers or continuations of health insurance to state employees who have left state service. Retention based on IC 34-13-1-2., (1998 Edition) NOTE: EFFECTIVE JULY 1, 1995, SUPPORTING DOCUMENTS FOR COMPLETED EXPENDITURES ON OR AFTER JULY 1, 1987 HAVE A RETENTION PERIOD OF TEN (1) YEARS AFTER THE END OF THE FISCAL YEAR.</p> | <p>TRANSFER to the RECORDS CENTER after one (1) year. DESTROY after fourteen (14) years in the RECORDS CENTER. TOTAL RETENTION: Fifteen (15) years.</p> |
| 3 | 94-02 | <p>DISABILITY CLAIM FILES</p> <p>This claim file consists of the employee application for benefits, medical information, general correspondence and payment records for the individual disability claim. These records are developed and maintained by the State Personnel Department and by its third party administrator (TPA) which sets up and administers claims per the contract. Confidential, [IC 5-14-3-4(a)(9), and IC 5-14-3-4(b)(8)(A), (2001 IC Supplement)] Retention partially based on IC 34-13-1-1, (1998 Edition), plus the advice of the attorney for the State Personnel Department.</p> | <p>TRANSFER to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional twenty-five (25) years in the RECORDS CENTER. TOTAL RETENTION: Twenty-five (25) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p> <p>The Third Party Administrator (TPA) will maintain these records as required pursuant to the contract and then TRANSFER these records to the STATE PERSONNEL DEPARTMENT for maintenance, TRANSFER and destruction in accordance with the latest approved Records Retention and Disposition Schedule for the Benefits, Disability and Workers' Compensation Division of the STATE PERSONNEL DEPARTMENT.</p> |

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| 4 | 2002-35 | <p>DISABILITY MINIMUM BENEFIT RECORDS</p> <p>These records consist of a list for each payroll period of claimants who are paid Minimum Disability Benefits (Health, Life, Dental, Vision and EAP Premiums only) plus worksheets to calculate pay period premium amounts. These records are developed and maintained by the State Personnel Department and its Third Party Administrator (TPA) who set up and administers claims per the contract. Retention based on IC 34-13-1-1, (1998 Edition)</p> | <p>TRANSFER to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional ten (10) years in the RECORDS CENTER. TOTAL RETENTION: Ten (10) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p> <p>The Third Party Administrator (TPA) will maintain these records pursuant to the contract and then TRANSFER these records to the STATE PERSONNEL DEPARTMENT for maintenance, TRANSFER and destruction in accordance with the latest approved Records Retention and Disposition Schedule for the Benefits, Disability and Workers' Compensation Division for the STATE PERSONNEL DEPARTMENT.</p> |
| 5 | 2002-37 | <p>WORKERS' COMPENSATION PAYMENT RECORDS</p> <p>These records consist of worksheets showing the calculation of and payment schedule of temporary total disability benefits, and payment summary sheets showing the payee, claimant, amount, and dates of the temporary total disability and medical payment vouchers submitted to the Office of the Auditor of State for processing. Workers' Compensation claims may require payments for up to ten (10) years from the date of injury. These records are developed and maintained by the State Personnel Department and by its Third Party Administrator, which sets up and administers claims per the contract. Retention based on IC 34-13-1-1, (1998 Edition)</p> | <p>TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year in which the last payment on the record was made and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional eight (8) years in the RECORDS CENTER. TOTAL RETENTION: Ten (10) years after the end of the fiscal year in which the last payment on the record was made and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p> <p>The Third Party Administrator will maintain these records pursuant to the contract and then TRANSFER these records to the STATE PERSONNEL DEPARTMENT for maintenance, TRANSFER and destruction in accordance with the latest Records, Retention and disposition Schedule for the Benefits, Disability and Workers' Compensation Division for the STATE PERSONNEL DEPARTMENT.</p> |
| 6 | 2002-38 | <p>CONTRACT LOSS REPORTS</p> <p>These records consist of monthly listings of claims (Disability and Workers' Compensation) reported to the Third Party Administrator. The reports are sorted by agency, inquiry type and other variables. Retention based on IC 34-13-1-1, (1998 Edition)</p> | <p>TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year in which the report was produced and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional eight (8) years in the RECORDS CENTER. TOTAL RETENTION: Ten (10) years after the end of the fiscal year in which the report was produced and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p> |
| 7 | 89-146 | <p>BLUE CROSS/BLUE SHIELD BILLINGS</p> <p>Each weekly billing consists of two parts: their retention fees for the services, and the employee claims that represent payments made to Blue Cross. Retention based on IC 34-13-1-2, (1998 Edition) NOTE1 EFFECTIVE JULY 1, 1995, SUPPORTING DOCUMENTS FOR COMPLETED EXPENDITURES ON OR AFTER JULY 1, 1987 HAVE A RETENTION PERIOD OF TEN (10) YEARS AFTER THE END OF THE FISCAL YEAR.</p> | <p>TRANSFER to the RECORDS CENTER two (2) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after thirteen (13) years in the RECORDS CENTER. TOTAL RETENTION: Fifteen (15) years.</p> |