

State Accident Insurance Fund (SAIF) Corporation
Records Retention Schedule 2018-002
Edition Date: November 2022
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OREGON STATE ARCHIVES
Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund (SAIF) Corporation

Schedule number: 2018-0002

Program Description

The records listed in this section can be found throughout the agency.

Program Records

001 Activity Reports

Retain 3 years, destroy

002 Administrative Rule and Regulatory Issues Records

Retain 10 years after rule repealed, destroy

003 Calendar and Scheduling Records

Retain 3 years, destroy

004 Check Pick-up Log

Retain 1 year, destroy

005 Inquiry and Complaint Records

(a) Retain complaints resulting in corporate policy change 25 years, destroy

(b) Retain all policy or claim related complaints in the claim or policy file

(c) Retain all other records 5 years after issue resolved, destroy

006 Investigation Division Activity Reports

Retain 5 years, destroy

007 Management Team Records

Retain 5 years, destroy

008 Monthly Reports

Retain 3 years, destroy

009 Quarterly Management Reports

Retain 20 years, destroy

010 Research Project Records

Retain 15 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

None

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Schedule number: 2018-0002

Agency: State Accident Insurance Fund (SAIF) Corporation

Division: Executive

Program: State Accident Insurance Fund Board

Program Description

State Accident Insurance Fund (SAIF) Corporation is an independent public corporation created by the Legislative Assembly in 1979. SAIF's Board of Directors consists of five members appointed by the Governor and confirmed by the Senate to four-year terms. Of the remaining three, one must be insured by SAIF for one year prior to the time of appointment.

The Board meets regularly and establishes general policy direction and appoints a manager who serves at the Board's pleasure (see separate program description).

Program Records

011 Board Meeting Records, 1986 – [ongoing] 9 c.f.

- (a) Retain minutes and packets permanently, transfer to State Archives after 20 years
- (b) Retain Board and Executive Session recordings 10 years, destroy
- (c) Retain all other records 5 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

None

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Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Executive

Program: President's Office

Schedule number: 2018-0002

Program Description

The President of SAIF Corporation is appointed by the SAIF Board and operates under policy direction of the SAIF Board. The President and Chief Executive Officer, along with the Executive Leadership Team establishes operating policy and direction, develops corporate strategies and goals and oversees company operations through the functional divisions and units.

The President's Office corresponds with company staff, other firms, insured employers, claimants, legislators and government agencies about company policy, managed care organizations, agent commissions, dividends and other issues currently pertinent to SAIF and its operation.

The President's Office also responds to inquiries and complaints received from claimants, policyholders, legislators, the Department of Consumer and Business Services (DCBS) and citizens. Most complaints are referred to Underwriting or Claims for reply. Complaints of a technical nature are referred to an appropriate specialist.

Program Records

012 President's Correspondence, 1993 – [ongoing] 5 c.f.

Corporate policy-related correspondence: Retain permanently, transfer to State Archives at end of administration

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

None

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Executive

Program: Executive Leadership Team

Schedule number: 2018-0002

Program Description

Executive Leadership Team assists in setting agency and division-wide policy, ensuring smooth day-to-day operations of the agency and preparing annual reports and other key documents that profile the agency and provide information to the public. Members of SAIF's Executive Leadership Team are responsible for managing the various divisions within SAIF. Executive Leadership Team consists of the SAIF President and CEO, Chief Operating Officer, Vice-President/Chief Financial Officer, Chief Information Officer and Chief Technology Officer, and the vice-presidents for Legal and Strategic Services, Human Resources, Underwriting, Claims, Policyholder Services, and Marketing, Sales, and Communications. Executive Leadership meets regularly to discuss events and issues facing the agency as a whole as well as at the division level.

Program Records

013 Executive Leadership Team Meeting Records, January, 2005 – [ongoing]

.35 c.f.

Retain permanently, transfer to State Archives after 20 years

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

None

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Executive

Program: Internal Audit

Schedule number: 2018-0002

Program Description

The Internal Audit function is an independent, objective, assurance and consulting activity that evaluates the effectiveness of risk management, control and governance processes. Internal auditing assists members of the organization in the effective discharge of their responsibilities by furnishing them with analyses, appraisals, recommendations, counsel and information concerning the activities reviewed.

The Chief Internal Auditor reports administratively to the President and Chief Executive Officer and functionally to the SAIF Corporation Audit Committee – a subcommittee of the Board of Directors.

Program Records

None

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

None

OREGON STATE ARCHIVES

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Administration

Schedule number: 2018-0002

Program Description

The Administrative Services Division Administration supervises the Facilities, Fleet Distribution Services, and Records Management programs. The section is also in part responsible for corporate disaster recovery, risk management and the safety and security of SAIF employees and facilities.

Administrative Services Division helps coordinate the development, testing and maintenance of the corporate Disaster Recovery Plan and the company's preparations for large and small disaster situations.

The Division also directly coordinates purchase and maintenance of corporate risk management insurance policies. Types of policies may include automobile and general liability, tort, boiler machinery, cyber security, employee dishonesty, employee liability, employee crime, commercial property and excess coverage commercial insurance policies.

Program Records

014 Corporate Risk Management Records

Retain 4 years after policy terminated, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

AutoCAD

Employee Ergonomics Assessment (Share Point)

Security

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Records Retention Schedule

Edition: November 2022

Organizational Placement

Schedule number: 2018-0002

Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Distribution Services

Program Description

Distribution Services processes incoming and outgoing postal and inter-office mail and coordinates delivery of documents and property to branch offices and external organizations. The program prepares, scans, and indexes incoming documents into SAIF's Document Management system and provides word processing support to the Legal, Claims and Customer Policy Services Divisions by typing interview and hearing transcripts from recordings.

Program Records

None

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

Check Verify

OnBase Document Management System

OREGON STATE ARCHIVES

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Facilities

Schedule number: 2018-0002

Program Description

The Facilities section supports the corporation through property acquisition and disposal, building maintenance and alteration, property management and space planning for all SAIF offices. It also provides security, custodial services and fleet services. It designs facilities and negotiates contracts for facility purchase, lease, repair, maintenance and alteration. The program also provides general oversight of the contracted cafeteria facility and vending services, and recycling and shredding services.

Building maintenance staff repair or request contract repair of buildings and equipment. They also plan preventive maintenance of buildings and equipment. The program uses electronic systems such as maintenance management system to monitor preventative and employee requested building and equipment maintenance, HVAC operation, generators, UPS, lighting, and fire and life safety systems.

The section provides security for SAIF employees and facilities through the electronic Access Control System, including administrative measures such as controlled access groups and times by employee role and physical measures such as a hard-key system for locked doors, duress systems in secure reception areas, security monitoring systems including Ethernet HD video surveillance cameras, and intrusion detection systems. Annual audits are performed to verify magnetic key card and hard-key assignments. An employee Security Team responds to security emergencies at all SAIF offices open to the public. Safety surveys, ergonomic studies and security assessments are performed periodically to insure that SAIF employees and facilities are safe and secure.

The section also performs the space planning and management function which designs and revises office layouts and coordinates and implements relocations of furniture, equipment, and related items in all SAIF offices. It performs annual inventories of equipment and furniture and disposes of surplus or outdated furniture and equipment.

Facilities also provides the vehicle fleet management function for SAIF. It develops specifications for corporate vehicles, purchases vehicles, coordinates licensing and registration, makes vehicle assignments, coordinates maintenance and modifications, files accident reports and disposes of vehicles. Driver's records are obtained from DMV for all SAIF employees to monitor problems with driving records. The fleet management function also coordinates the SAIF Employee Commuter Options (ECO) for company offices in Portland. This is a federal requirement and is administered by DEQ to provide incentives for carpooling or using mass transit in order to reduce pollution. Fleet management also manages parking lots in company owned or leased parking facilities.

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Program Records

015 Access Card Records

- (a) Retain card and hard key issue log 4 years, destroy
- (b) Retain card and hard key assignment list 6 months, destroy
- (c) Retain card audits 3 years, destroy
- (d) Retain temporary access logs 1 year destroy

016 Employee Commuter Options Records

Retain 3 years, destroy

017 Employee DMV Driving Records

Retain 10 years or until employee separation, whichever occurs first, destroy

018 Security Surveillance Recordings

- (a) Retain recordings capturing an incident 2 years after resolved, destroy
- (b) Retain all other recordings 2 months, destroy

019 Space Planning Review Files

Retain until project completed, destroy

020 Vehicle Listings and Dispatch Logs

Retain 1 year, destroy

021 Vehicle Mileage Logs

Retain 3 years, destroy

022 Vehicle Requests

Retain 2 years after audit, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Agile Fleet

AutoCAD

CMM SharePoint

Infor

Johnson Control Metasys

Lynx

OVR (cameras)

P2000

ServiceNow

Voyager

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Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Purchasing

Unit: Copy Center

Program Description

The Copy Center provides a specialized purchasing function for forms and publications. It designs forms and other printed items, provides advice and assistance to customers on the design and creation of print items and assists in preparing contracts with printing companies for print jobs. It also performs bulk copying and bindery services. Services not provided by the copy center are contracted out. In addition, the Copy Center coordinates service and repair of photocopiers for Copy Center equipment.

Program Records

023 Colonial Cost Center Reports – Freight

Destroy

024 Master Forms Files (ended in 2008)

Destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Infor

WCIS_DBA - FIAT

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Schedule number: 2018-0002

Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Records Management

Program Description

The Records Management section provides centralized records management coordination for the corporation. It coordinates with the State Archives Division to develop and maintain the corporate records retention schedule and monitors records retention and disposition. It also administers the microfilming service bureau contract and monitors the corporate Vital Records program.

Records Management contracts with both a corporate off-site record storage center and the State Records Center to store paper records, microfilm and microfiche records and data storage. Record storage is controlled by transmittals and destruction is approved by the owning program.

Program Records

None

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Iron Mountain Connect

Secure Sync

State Records Center (SRC) Tracking Database

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Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Records Management

Unit: Bill Entry

Program Description

The Bill Entry Unit is the data entry production area that enters data from bills received for injured workers. System began in December 2004 and more development within the unit might add to the unit in terms of records creation.

Program Records

025 Bill Entry Reports

Retain until entered into billing system and verified, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

Bill Entry

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Records Management

Unit: Central Scanning Unit

Schedule number: 2018-002

Program Description

The Central Scanning Unit receives and processes all incoming mail relating to claims files. Unit activities include the preparing, scanning and indexing of these documents. The unit makes corrections to documents where the quality of the document is an issue. Documents are held in paper format for 7 working days after they have been scanned and then are destroyed per confidential record destruction procedures. The CSU Unit is using Tower brand imaging software and in-house designed indexing and storage software.

Program Records

None

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

Hyland Onbase

Tower Imaging System

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Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Records Management

Unit: Microfilm

Schedule number: 2018-002

Program Description

The Microfilm Unit receives claim files, policy files and a variety of other hardcopy records from company offices and sends them to the contract microfilm vendor for filming. It performs quality control inspections on returned film and fiche. Hardcopy documents are printed from the film using a Kodak Automated Retrieval (KAR) system for corporate customers when requested. Files which were filmed before the KAR system was implemented are located using Microfiche Indexes. Copies are printed and KAR entries made.

Program Records

026 Microfiche Indexes

Retain 75 years, destroy

027 Microfilm Expense Sheets (ended 2013)

Destroy

028 Security Microfilm/Microfiche Locator Log

Retain until sunset of corporation, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

Kodak Automated Retrieval (KAR)

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Schedule number: 2018-0002

Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Services

Program Description

The Services section researches product information, assists in preparation of Requests for Information and Requests for Proposals, evaluates bids and selects best vendor. The section uses the Accounting Division Accounts Payable Lawson system to enter cost and billing data. Accounting compares invoice and voucher information when paying bills.

Program Records

029 Daily Lawson (Stock Transaction) Reports

Retain 1 year, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Infor

OREGON STATE ARCHIVES

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Agency: State Accident Insurance Fund Corporation

Division: Administrative Services

Section: Underwriting Policy Records Center

Schedule number: 2018-002

Program Description

The Underwriting Policy Records Center stores and services the corporate Underwriting Policy Files. It also stores inactive files for Legal, Service Center and other company offices. It does not create or “own” the files, but operates as an on-site central file room for the Underwriting Division, other users of Underwriting Policy Files and other records.

Documents are received and filed into policy files and the files are purged periodically using Underwriting Division purging guidelines. When files are received for storage, the on-line file location designation is changed to show users where the file is. When files are sent to requesters, the on-line file location designation is switched to indicate where the file was sent. In addition, the program performs various clerical support tasks as assigned.

Program Records

030 Firms That End in Coverage Log Sheet

Destroy

031 New Accounts Log Sheet

Destroy

032 Underwriting Policy Files Purge List

Destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF’s Records Management Unit.

Databases Used

Business Online

WCIS

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Claims

Section: Return to Work (RTW)

Schedule number: 2018-002

Program Description

Return-to-Work Consultants promote and coordinate efforts of employers, medical providers and other parties to return injured workers to suitable employment at the earliest possible time. They help employers identify and develop suitable temporary (transitional) modified or light duty positions, modify work sites and obtain wage subsidies. The ultimate goal is to educate the employer at injury to become self-sufficient in this process.

The RTW Program helps insured firms match injured worker needs to transitional or modified work situations and then obtains reimbursement from DCBS Employer at Injury Program.

Program Records

033 Employer at Injury Program Audit Records

Retain 3 years after last activity, destroy

034 Employer at Injury Program Case Files

Retain 3 years after last activity, destroy

035 Employer at Injury Program Employer Files

Retain 3 months after employer separation from SAIF, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

BDS

EAIP Maintenance

Impromptu

OnBase (EAIP cabinet)

SAS

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Claims/Investigations Program

Schedule number: 2018-002

Program Description:

The Claims Investigations Program supports the claims management process by gathering objective information used to make accurate decisions, deter abuses in the workers' compensation system and recover funds inappropriately paid due to fraudulent activity.

The Program investigates injury claims to determine compensability and assists in claims management. It also investigates cases of possible fraud reported by claims adjusters and others. Investigators review records of SAIF, insured firms and others; interview workers and witnesses; and coordinate with law enforcement and government agencies to determine if workers' compensation fraud has been committed. Recorded statements and video evidence are gathered to manage claims effectively and avoid paying undeserved benefits.

Criminal processing or civil litigation is pursued to recover funds paid through fraudulent activity. When litigation results in restitution, Claims Investigations monitors the recovery of those funds through the Customer and Policy Services Division - Credit and Collections Section.

Program Records:

036 Compensability Investigations Case Files

- (a) Retain audio/video and digital recordings 7 years after claim file reserves have been dropped to zero and there has been no payment activity for 7 years, destroy
- (b) Retain audio/video tapes made prior to 3/1/2005 7 years, destroy

037 Fraud Case Files

- (a) Retain TITAN data 20 years, destroy
- (b) Retain Employer/Provider Case Files 25 years, destroy
- (c) Retain all other records 5 years after closed or restitution satisfied, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

TITAN

OREGON STATE ARCHIVES

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Claims

Section: Claim Audit Review

Schedule number: 2018-002

Program Description

The Medical Audit Review Section performs audits of all billings for medical services to claimants insured by SAIF. It identifies and corrects inappropriate provider billing and treatment practices by informing and educating providers and internal and external business partners. The section refers potential cases of abuse to the Fraud and Investigations Division.

The section receives medical bills from Claims Adjusters, enters data and verifies the appropriateness of billing codes; amounts billed for particular services and related information. It reviews and resolves disputes over payment for specific services. The section also maintains statistical information about program operations and provides reports for management.

Program Records

038 Medical Audit Project Reports

Retain 5 years, destroy

039 Medical Audit System Production Reports

Retain 1 year, destroy

040 Medical Provider Filing Records

Retain 6 years after termination of contract, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Claim Audit Review

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Claims

Section: Claims

Schedule number: 2018-002

Program Description

The Claims Section manages claims submitted by injured workers or their legal representatives for compensation for on-the-job injuries and illnesses. It receives claims, gathers information and based on this information may accept or deny the claim under Chapter 656. If a claim is found to be work related, a claims adjuster monitors claim activity, reviews and authorizes payments for medical and other expenses and resolves claims through closure or settlement.

Adjusters communicate with injured workers, policyholders, field representatives, medical providers, legal counsel and the Department of Consumer and Business Services (DCBS) regarding claims issues. Within regional claims units, teams of adjusters and claim assistants, as well as vocational coordinators and nurse consultant case managers manage the claims.

Return to work consultants help facilitate the efforts of claims adjusters, vocational specialists and others to return injured workers to suitable and gainful employment with the employer at injury as soon as medically feasible. The goal is to keep workers suitably employed and to minimize claim costs.

The Claims Section also establishes reserve amounts for each accepted disabling or permanent partial disability claim as required under 656.636 and 656.640. If a claim is denied and the worker appeals, reserves are established based on the anticipated probable outcome of each claim, based on the injury, its probable consequences and other reasonably foreseeable factors. Claim reserve amounts are adjusted as significant developments dictate. If a claim enters litigation, the claims adjuster helps the Legal Division prepare the defense. Accident and illness claim decisions and awards may be appealed to the Workers' Compensation Board, Court of Appeals, or the state Supreme Court. Medical or vocational disputes are appealed through the Workers' Compensation Division and may go to contested case hearing or a dispute resolution conference.

Program Records

041 Attorney Letter Log (no longer created)

Destroy

042 Check Pick-up Log

Retain 1 year, destroy

043 Claims Management Records

(a) Retain supporting documents 1 year after report prepared, destroy

(b) Transfer individual results to Employee Personnel Files

(c) Retain monthly reports 1 year, destroy

(d) Retain annual report 3 years, destroy

044 Claims Overpayment Refund Records

Retain 3 years, destroy

045 Claims Payment Monitoring and Correction Records

Retain 3 years, destroy

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- 046 Employer's Deductible Reports**
Retain 3 years after audit, destroy
- 047 Employer's Liability Claim Files**
Retain 75 years after end of policy, destroy
- 048 Excess Coverage Employer Files (created between 1981-1983)**
Retain 75 years after end of policy, destroy
- 049 Federal Claims Second Injury Billing Records**
Retain 6 years, destroy
- 050 Industrial Accident Claim Files**
Retain 75 years after date of injury, destroy
- 051 Inmate Injury Monthly Billings**
Retain 6 years, destroy
- 052 Preferred Worker Re-employment Claim Costs Records**
Retain 6 years, destroy
- 053 Reopened Claims Program Reimbursement Request/Own Motion**
Retain 6 years, destroy
- 054 Reopened Second Injury Reserve Records**
Retain 6 years, destroy
- 055 Retroactive Reserve Cost of Living Records**
Retain 6 years, destroy
- 056 Supplemental Disability Benefits Quarterly Reimbursement Requests**
Retain 6 years, destroy
- 057 Third Party Tort Claim Files**
Retain 6 years after closed, destroy
- 058 Vocational Counselor Files**
Retain 5 years after termination of counselor, destroy
- 059 Workers' with Disabilities Program Claim Costs Reimbursement Records**
Retain 6 years, destroy
- 060 Workers' with Disabilities Program Reserve Adjustment and Monitoring Reports (program ended in 1987)**
Destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Business Online - Claims
OnBase

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Claims

Section: Medical Programs

Schedule number: 2018-002

Program Description

The responsibility of Medical Programs Section is to assure that consistent, timely and appropriate medical care is provided to injured workers through contracted Managed Care Organizations (MCOs). MCOs are groups of medical care providers who contract to provide a wide variety of health care services to enrolled members through participating providers. These organizations are certified by the Department of Consumer and Business Services (DCBS). Medical Programs negotiates and administers contracts between SAIF and MCOs to provide medical treatment to injured workers. It also monitors the Department of Consumer and Business Service dispute resolution process between insured firms, injured workers, providers and MCOs. All insured firms are automatically enrolled in an MCO.

The program provides information about MCOs to injured workers, employers and providers in order to improve the quality of medical service delivery. It performs medical case management for injured workers, makes home visits to help injured workers get appropriate treatment, makes referrals and performs physician case reviews and nursing consultant reviews. Medical Programs also educates MCO providers on workers' compensation insurance issues through seminars and newsletters.

Program Records

061 Dispute Resolution Files

Retain 5 years after resolution, destroy

062 Managed Care Organization Provider Case Files

Retain 6 years after termination of contract, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

OnBase

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Corporate Accounting

Section: Accounts Payable

Schedule number: 2018-002

Program Description

Accounts Payable is one of three sections in the corporate Accounting Division, which also includes the Cashiers and Financial Reporting programs. The three sections work closely together to perform the full range of accounting processes related to revenue, expenditures, budgets, receivables, payables, investments, and other assets and liabilities.

Accounts payable functions include receiving payroll data from the Payroll program in Human Resources (see separate program description) and posting it electronically into the General Ledger system. Sales commission data is received from the Marketing program (see separate program description), which pays sales agents and agencies and direct write sales commissions. The data is posted electronically into the General Ledger system. Claims payment, dividend, premium refund and employer payroll data is captured and electronically posted to the General Ledger system. Accounts payable also processes, pays and accounts for all administrative expenditures, travel expense and capital items. It also produces administrative expenditure reports for company managers to use in monitoring and controlling expenditures in accordance with the corporate budget.

Program Records

063 Accounting Structure and Organizational Hierarchy Records

Retain 6 years, destroy

064 Agent and Agency Sales Commission Records

Retain 6 years, destroy

065 Electronic Fund Transfer Records

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

1099Pro

Bill Pay

Infor

LegalNET

Provider (third party)

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Corporate Accounting

Section: Cashiers

Schedule number: 2018-002

Program Description

Cashiers is one of three sections in the Corporate Accounting Division, which also includes the Accounts Payable and Financial Reporting sections. The three sections work closely together to perform the full range of accounting processes related to revenue, expenditures, budgets, receivables, payables, investments and other assets and liabilities.

Cashiers process monies received for employer insurance premiums, claim refunds and reimbursements and miscellaneous cash. Checks received for payment and related items are scanned or entered into the Onsite Electronic Deposit accessed thru US Bank Singlepoint , then uploaded to the Accounts Receivable system.

Cashiers makes bank deposits, reconciles bank statement transactions, processes NSF checks/EPayments, and reconciles various general ledger accounts including cash accounts. They also receive, process and account for redeemed, cancelled, and returned SAIF checks. Checks uncashed after two years, are reported to the Division of State Lands for disposition. Cashiers issues replacement checks, processes forgeries and handles all inquiries regarding SAIF-issued checks. In addition to checks, the Cashier unit enrolls injured workers in US Bank Reliacard or direct deposit payment options, funds US Bank one-time Instant Issue cards, and responds to questions relating to these electronic fund alternatives. SAIF's petty cash funds are controlled, audited and accounted for by the Administrative Assistant for the Corporate Accounting Division. Petty cash is replenished through the Accounts Payable section of the Corporate Accounting Division.

Program Records

066 Canceled Reserve Account Records

- (a) Retain Annual Abandoned Property Report 20 years, destroy
- (b) Retain all other records 6 years, destroy

067 Check Forgery Records

Retain 6 years, destroy

068 Paid Check Registers

Retain 6 years, destroy

069 Receipt Registers

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

OREGON STATE ARCHIVES
Records Retention Schedule

Edition: November 2022

Databases Used

Business Online

Infor

Quickbooks,

US Bank Onsite electronic Deposit

WCIS AR

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Schedule number: 2018-002

Agency: State Accident Insurance Fund Corporation

Division: Corporate Accounting

Section: Financial Reporting

Program Description

Financial Reporting is one of three sections in the corporate Accounting Division, which also includes the Cashiering and Accounts Payable programs. The three sections work together closely to perform the full range of accounting processes related to revenue, expenditures, budgets, receivables, payables, investments, and other assets and liabilities.

Financial reporting functions include coordinating the preparation, approval, and modification of SAIF's annual corporate budget. SAIF's budget is approved by the SAIF Board. Financial Reporting staff also prepares financial statements, Board reports, annual statements to the Department of Administrative Services and the state Insurance Commissioner, and maintains the corporate General Ledger and associated accounts. Another Financial reporting function involves accounting for SAIF's investments, which are managed by the State Treasury and private investment managers.

Program Records:

070 Annual Financial Statements

- (a) Retain annual financial report 50 years, destroy
- (b) Retain final trial balance report 10 years, destroy
- (c) Retain draft reports 1 year after final document produced and approved, destroy
- (d) Retain all other records 6 years, destroy

071 Board Approved Budgets

- (a) Retain final budget reports 10 years, destroy
- (b) Retain draft reports 1 year after final budget report produced and approved, destroy

072 Supporting System Reports

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

FSI

Infor

PAM

SharePoint

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Financial services

Program: Actuarial

Schedule number: 2018-0002

Program Description

The Actuarial Division is responsible for a wide range of services to corporate management involving quantification of insurance premium levels, dividends, loss and loss expense reserve funds. It performs financial forecasting and surplus fund management, maintains SAIF's pricing structure and ensures that the company's loss reserve funds are sufficient to meet its potential obligations.

The division performs analyses to determine SAIF's reserve requirements for financial statement premium assets and loss and loss expense liabilities. It reviews and recommends modifications to insurance or re-insurance plans sold or purchased by SAIF for additional coverage or for very large claims.

The division coordinates with Insurance Division examiners, Secretary of State auditors, private auditors contracted by SAIF and SAIF's actuarial consultants to review fiscal and actuarial data to develop appropriate and acceptable reserve funds. Actuarial also calculates dividends to be paid to SAIF's insured customer segments.

The Actuarial Division prepares quarterly premium assessment reports for the Department of Consumer and Business Services (DCBS). It provides premium, loss and expense information to the state's rating bureau, the National Council on Compensation Insurance (NCCI) for their use in setting rates.

Program Records

073 Dividend Processing and Payment Records

Retain 6 years, destroy

074 Dividend Reports

(a) Retain dividend reports from 1964-1974 75 years, destroy

(b) Retain all other dividend reports 20 years, destroy

075 Financial Statement Preparation and Premium Assessment Records

(a) Retain final copies 6 years, destroy

(b) Retain drafts 1 year after final documentation produced, destroy

076 NCCI Aggregate Calls for Experience Records

Retain 6 years, destroy

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077 Pricing Records

- (a) Retain final copies 6 years, destroy
- (b) Retain drafts 1 year after final documentation produced, destroy

078 Re-insurance Account Records

Retain 75 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Dividends

Premium-in-Force (PIF)

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Finance

Program: Research and Analysis

Schedule number: 2018-002

Program Description

The Research and Analysis Program is responsible for providing management information and recommendations to the Executive Leadership Team and program managers to help SAIF perform its statutory function and attain its business objectives.

The program conducts cross-functional analytical studies and surveys, compiles, analyzes and interprets internal and external financial, actuarial and operational data. It identifies trends, summarizes data and makes recommendations to the Executive Leadership Team and program management. It also helps develop systems to monitor and measure performance of various business processes. The division conducts these studies through extensive legislative, legal, marketing and competitive research. SAIF's Business Decision System (BDS) is used to gather data from various in-house databases and third-party data is also captured and used for analysis.

Program Records

119 Corporate Scorecard

Retain 25 years, destroy

120 Management Research and Analysis Reports

(a) Retain reports 10 years, destroy

(b) Retain final project files 5 years, destroy

121 Project Tracking Records

Retain 5 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Business Decision System (BDS)

Research and Analysis Project Database

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Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Groups

Schedule number: 2018-002

Program Description

The Groups Division coordinates all aspects of SAIF's relationship with groups of firms and trade associations. This includes working with other divisions to support the services provided to individual policyholder firms insured under group plans. It establishes specific group coverage insurance plans and negotiates and administers contracts covering group discount insurance services with trade associations.

The program works closely with the Actuarial Division and state regulatory agencies to ensure group rating adequacy and market place stability. It also works closely with the Marketing Division to coordinate sales and underwriting evaluations of firms before group coverage is written. In order to comply with ORS 737.316, Groups provides rosters to trade associations for verification that firms receiving group discounts are still members of the association and qualify for a group plan.

Program Records

079 Group Plan Development Records

(a) Retain prospects not established 5 years after last denial, destroy

(b) Retain Group Historical Records 20 years, destroy

080 Group Plan Roster Reports

Retain 1 year, destroy

081 Loss Ratio by Date of Group Summary Report

Destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Automatic Data Processing (ADP) Enterprise 3 (EV3)

BDS

Budget Maintenance

Business Online

Claims applications

WCIS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Human Resources

Program: Benefits, Compensation and Wellness

Schedule number: 2018-002

Program Description

The Benefits, Compensation and Wellness program designs and implements the corporate benefits plans, the company compensation system, and the corporate wellness program. It also publicizes and interprets the benefits plans, the compensation system and wellness programs to company staff and management. The program also gives retirement orientations, coordinates wellness activities, and conducts periodic employee satisfaction surveys.

SAIF's employee compensation system includes base salary, performance variable lump-sum pay, comprehensive health benefits, retirement, paid leave and miscellaneous benefits. Program staff conducts annual compensation surveys and industry job market reviews to determine industry compensation trends and job market statistics that may affect the company or its employees. Positions are studied to determine the appropriate pay grade and rate. The program helps company managers and supervisors with the annual Focal Point Review, which determines base pay adjustments and, variable lump-sum payments based on performance results during the previous calendar year.

SAIF's health benefits program offers group policies for medical, dental, vision, life and disability insurance. The benefits program also provides related benefits such as the Health and Wellness Center, and the health education and wellness program. Also, the general benefits program includes voluntary and company paid benefits. General benefits include Public Employee's Retirement System (PERS) and deferred compensation plans. It also includes voluntary employee life and long-term care insurance, flexible-spending accounts and related benefits. The benefits program coordinates with PERS and negotiates with insurance companies, financial institutions and other providers. It also makes recommendations to management, publicizes plan options to company employees, enrolls employees in plans and monitors ongoing general benefits activities.

The SAIF wellness program is a voluntary wellness program that supports employees toward the goal of living well. The program works on computers, tablets, and smart phones. The program offers tips and tools through wellness activities whose goal is to improve the health of SAIF employees that improve nutrition, sleep, exercise and stress management. SAIF is not under the State Department of Administrative Services, Human Resource Services Division rules. However, SAIF employees are members of the Public Employee's Retirement System (PERS)

Program Records

082 Benefits Program Management Records

Retain 5 years, destroy

083 Compensation Program Records

(a) Retain Market Analysis Records 5 years, destroy

(b) Retain published surveys 2 years, destroy

(c) Retain all other records 10 years, destroy

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084 Deferred Compensation Program Management Records

Retain 6 years after vendor contract terminated, destroy

085 Individual Employee Deferred Compensation Records

Retain 6 years after payout completed, destroy

086 Wellness Program Records

Retain 5 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Automatic Data Processing (ADP) Enterprise 3 (EV3)

HRIS

MARKET PAY

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Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Human Resources

Program: Diversity and Inclusion

Schedule number: 2018-002

Program Description

At SAIF we respect, value, and celebrate the attributes, characteristics, and perspectives that make each person unique. The department's mission is to enhance and promote our culture of inclusion among all employees, establish SAIF as the employer of choice, and better serve our customers through innovation and delivery of services.

We believe that, as a company of diverse individuals, we are more effective, innovative, and better positioned to accomplish our corporate mission. Weaving our similarities and differences into business strengths helps us:

- Connect more positively with the communities we serve, including our policyholders, their workers, and our own employees
- Build more effective teams, which in turn influences better business results
- Develop leaders with the variety of skills that will be needed in the 21st century

SAIF's Diversity and inclusion (D&I) division provides a multi-faceted program that includes a renewable 2-year corporate strategy aligned with SAIF's core commitments, in-person trainings, webinars, videos, articles, subject expert speakers, and a variety of training tools in virtual and paper formats. The Diversity and Inclusion program works closely with the Human Resources division with regard to recruitment trends and practices, training & development and employee engagement. It also makes recommendations to management as needed. SAIF's D&I engages in supporting diverse community sponsorships and events across the state.

The D&I Division creates and holds an annual Workplace Summit where employees are able to attend a variety of breakout educational sessions to earn certified education credit based on their specialty. Sessions are facilitated by internal and external presenters throughout the state.

Program Records

087 Diversity and Inclusion Corporate Strategy Records

Retain 8 years after completion, destroy

088 Personal Perspective and Vendor Presentation Videos

Retain 20 years after creation

089 Survey Results by quarter and year

Retain 5 years after finalized, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

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Databases Used

Icloud

Microsoft 360

Onenote

SharePoint

Video media

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Human Resources

Program: Employee Relations

Schedule number: 2018-002

Program Description

The Employee Relations program ensures compliance with company policy, state and federal laws as well as administers performance management. The program coordinates resolution of formal and informal employee problems and issues by working with employees and managers to provide direction, guidance, consultation, and recommendations. Company employees contact Employee Relations by telephone, email or other means to discuss a variety of work related problems or concerns. Most problems are resolved by informal mediation at the lowest level, others may involve a more formal progressive discipline process, including litigation.

The program oversees the development, approval and revision of personnel related policies in the Employee Policy Manual and maintains the master copy of the manual including revised, rescinded and obsolete policies. The Manual is SAIF's policy manual and is available to employees electronically on the company Intranet.

The program helps corporate management implement layoff/downsizing efforts when required to reduce the size of the staff. It works with company management to develop policies, procedures and decision-making tools to help determine the need for downsizing or layoffs. Downsizing and layoff policies and procedures are in the Operations Standards Manual.

Employee Relations administers compliance with Americans with Disabilities Act (ADA), the Family Medical Leave Act (FMLA), Oregon Family Leave Act (OFLA) and company leaves programs in addition to the long-term disability insurance program. These programs are administered in accordance with company policy and state and federal laws. The program provides consultation and guidance to employees via email, walk-ins, and telephone. Employee Relations maintains electronic and hard copies of all current employees and former employees' files. All leave and medical records are maintained in separate files not part of employee personnel files.

SAIF is not under the State Department of Administrative Services, Human Resource Services Division rules. However, SAIF employees are members of the Public Employee's Retirement System (PERS).

Program Records

090 Employee Policy Manual, 1970

Retain master copy, including revisions and working papers permanently, transfer to State Archives 20 years after rescinded or obsolete

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Records Retention Schedule

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091 Employee Relations Records

- (a) Retain informal cases 3 year after resolved, destroy
- (b) Retain formal cases 5 years after resolved, destroy
- (c) Retain case log 8 years after resolved, destroy
- (d) Retain leaves, FMLA, OFLA files 5 years, destroy
- (e) Retain performance evaluations 5 years, destroy
- (f) Retain supervisors' working files until summarized in the employee's performance evaluation, destroy
- (g) Retain long-term disability insurance records retain 5 years after employee separation, destroy

092 Layoff/Downsizing Records

Retain 3 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Automatic Data Processing (ADP) Enterprise 3 (EV3)
SharePoint

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Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Human Resources

Program: Human Resources Operations

Schedule number: 2018-002

Program Description

Human Resources Operations manages the company's personnel and payroll processes, records and system data. The program develops and maintains a variety of production and ad hoc system generated reports for management and various statistical reporting as well, needed to meet state and federal requirements. The program oversees the development, and revision of the Operations Policy Manual and maintains the master copy of the manual including revised, rescinded and obsolete policies and processes.

Human Resources Operations maintains personnel files on all current and former employees.

SAIF is not under the State Department of Administrative Services, Human Resource Services Division rules. However, SAIF employees are members of the Public Employee's Retirement System (PERS).

Program Records

093 Employee Personnel Files

- (a) Retain copy of PERS enrollment records (Payroll Year-end Register) 75 years after date of hire, destroy
- (b) Retain performance evaluations 5 years, destroy
- (c) Retain formal and informal notices in accordance with the Employee Relations retention guidelines
- (d) Retain all other records 10 years after separation, destroy

094 Equal Employment Opportunity Records

Retain 4 years, destroy

095 Human Resources Reports

Retain 5 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Automatic Data Processing (ADP) Enterprise 3 (EV3)

Comp XL

Document management System for personnel records

iCIMS

iLearn

Kronos

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Records Retention Schedule

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Human Resources

Program: Payroll

Schedule number: 2018-002

Program Description

The Payroll program supports the corporation by performing payroll functions and contracting for automated payroll services. It coordinates payroll matters with the contracted payroll vendor, Automated Data Processing (ADP).

HR establishes each employee's salary in the ADP system and transmits this information through an electronic interface. Payroll enters tax withholding, direct deposit, retro adjustments, PERS eligibility data, and department and/or salary splits.

Payroll imports time and attendance from the Kronos system. ADP performs monthly gross-to-net payroll. ADP prepares electronic deposits and paychecks from a monthly transmission file. Payroll is responsible for preparing any manual checks that occur outside the normal monthly transmission. ADP returns payroll data which includes check detail and year-to-date files from their mainframe. ADP also prepares a variety of monthly electronic payroll reports and provides the ADP Reporting system for creating custom reports.

ADP creates and electronically submits all quarterly and annual reporting to the tax agencies. Once electronically filed, ADP provides the reports via iReports.

Payroll also receives invoices (electronic or paper) from insurance companies and pays the premiums for insurance coverage on individual employees, both SAIF-paid and voluntary.

In addition, Payroll maintains Individual Employee Payroll Records, which serve as a case file for employee salary and benefits, deductions, withholding, insurance, leave and related activities. Payroll is responsible for maintaining the PERS EDX system. This includes the notification of new hires, terminations, data verifications, and work list requests to stay in compliance with Oregon PERS statutes.

Additional responsibilities would include U.S. Census reporting, Bureau of Labor reporting, relocation tax information, and the monthly General Ledger reconciliation.

Program Records

096 Accounting Form (AF 14) Payroll Register

Retain 6 years, destroy

097 Deduction Registers

Retain 5 years, destroy

098 Employee Payroll Records

(a) Retain garnishment records: 4 years after resolution, destroy

(b) Retain deduction authorization records: 3 years after superseded, eligibility expired or employee separation, destroy

(c) Retain all other employee payroll records: 7 years after employee separation, destroy

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099 Employee Time Records

Retain 4 years, destroy

100 Insurance Company Billing and Payment Records

Retain 6 years, destroy

101 Leave Balance Registers

(a) Retain year-end registers 75 years, destroy (serves as PERS enrollment data)

(b) Retain monthly registers 4 years, destroy

102 Leave Balances/Miscellaneous Paid Leave Records

Retain 10 years, destroy

103 Payroll Master Control Reports

(a) Retain year to date report 75 years, destroy

(b) Retain monthly report 4 years, destroy

104 Payroll Registers

Retain 5 years, destroy

105 PERS EDX Reconciliation Reports

Retain 6 years, destroy

106 Relocation Agreement and Payout Information

Retain 6 years, destroy

107 Workers Compensation Payroll Report

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Automatic Data Processing (ADP) Enterprise 3 (EV3)

E-Time

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Records Retention Schedule

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Human Resources

Program: Talent Management

Schedule number: 2018-002

Program Description

The talent management program provides training and staff development systems for SAIF. It performs organizational development services such as team building, management and employee consultations and related activities designed to improve the performance and effectiveness of individuals and groups. The program performs training needs assessments, develops curriculum, teaches courses or contracts for instructors and evaluates courses and instructional processes to determine return on investment.

The program develops and administers general, specialized and mandated licensing and certification training courses for SAIF staff, management and others. Topics include new employee orientation, supervision and management, team development, interpersonal communication, negotiation skills, safety, medical education, claims examiner, vocational rehabilitation and insurance operations.

Talent management manages Claims Examiner Certification and Continuing Education courses. Courses cover claims examiner responsibilities and are developed and administered by SAIF for its employees and others. The courses are required for claims examiner re-certification every three years.

The program also submits Insurance Agent Continuing Education Courses to DCBS for course approval. Courses cover insurance operations, and are developed and administered by SAIF for its employees and others. The courses are required for biannual license renewal for insurance agents.

Talent management also provides educational assistance to company employees in the form of tuition assistance. Employees who are in a degree and/or certification program are reimbursed for courses taken in which they achieve a "C" grade or higher. Qualified employees enrolled in a professional certification program may be reimbursed for the costs of courses leading to certification.

Talent management also manages the employment program. The program performs recruitment and selection services to help operating managers fill vacant positions. It works with company managers to develop testing and screening instruments. The program prepares job announcements and advertises vacant positions. It screens applications, coordinates interview panels and schedules interviews. Background checks are performed when needed.

Program Records

108 Employee Certification and Continuing Education Records

Retain 6 years, destroy

109 Employee Recruitment Records (formerly 140)

- (a) Retain announcement records, position descriptions and test rating records 10 years, destroy
- (b) Retain graded applications, rejected applications, interview notes and tests 2 years, destroy
- (c) Retain unsolicited applications 3 months, destroy
- (d) Retain all other recruitment and selection records 3 years after position filled or recruitment cancelled, destroy

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110 Organizational Development Records

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

iLearn

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Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Information Systems

Section: Application Development and Business Support

Schedule number: 2018-002

Program Description

The Applications Development and Business and Enabling Services units work in tandem to provide information management resources to the corporation and ensure that all data automation technology is being used efficiently and effectively to meet business needs. The units provide systems development and business process improvement corporate wide. Application Development is responsible for new development and system maintenance for all in-house as well as customized off-the-shelf software. The Business and Enabling Services team provides project management leadership in support of systems development and maintenance. Both units are responsible for utilizing SAIF's project methodology.

Program Records

111 Ad Hoc Code

Retain until run, destroy

112 Application Development Records

Retain until 3 years post-implementation

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Team Foundation Server (TFS)

Workfront

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Records Retention Schedule

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Information Systems

Section: IT Services and Support

Schedule number: 2018-002

Program Description

IT Services and Support is one of four sections in the Information Systems Division. The four sections work closely together to provide information management resources to the corporation and ensure that all data automation technology is being used efficiently and effectively to meet business needs.

IS Support Services operates a Help Desk that takes inquiries and service requests, and a Workstation Support Unit that provides technical support to business units for networked and stand-alone PC's and other automated equipment. In addition, the section is responsible for all production jobs for SAIF, including the scheduling, review and problem resolution of each job, as well as maintaining the computer operations for SAIF.

Program Records

113 Job History (Automic One Automation)

Retain 3 years, destroy

114 Knowledge Management Records (ServiceNow)

Retain until superseded or obsolete, destroy

115 One-time and On-demand Production Job Requests

Retain 3 years, destroy

116 Production Job Records

Retain 3 years, destroy

117 Request for Access Forms

Retain 3 years, destroy

118 ServiceNow Incident Records

Retain 3 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Automic One Automation

ServiceNow

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Information Systems

Program: Technology Services

Schedule number: 2018-002

Program Description

The Technology Services Program is one of four sections in the Information Systems Division. The four sections work closely together to provide information management resources to the corporation and ensure that all data automation technology is being used efficiently and effectively to meet business needs.

Technology Services is directly responsible for the company's technical infrastructure. This includes; the data center, data communications, local and wide area networks and telephone systems. Related activities include: capacity planning, performance management, problem resolution, infrastructure design and software/hardware installation and maintenance. This section is responsible for evaluation and integration of new technologies in alignment with corporate business strategies.

Program Records

122 Phone Related Inventory and Assignment Records

Retain until assignment terminated or superseded, destroy

123 Telecommunication Log Records (ISI Infortel Select)

Retain 5 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Infortel

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Legal & Strategic Services

Program: Government & Regulatory Affairs

Schedule number: 2018-002

Program Description

Government Affairs is responsible for SAIF's relations with the Governor's Office and the Legislative Assembly. Prior to each legislative session, the program coordinates development of SAIF's position on potential legislation. During the legislative session the program monitors bills and workers' compensation issues and lobbies legislators and others to communicate SAIF's position. After each session, it coordinates development of SAIF's implementation of legislation affecting the corporation. Between sessions, the program works to resolve inquiries and complaints from legislators and tracks potential legislation and workers' compensation issues. The program also monitors issues being considered by and acts as the company's spokesperson to the independent Workers' Compensation Management-Labor Advisory Committee.

Program Records

124 Ballot Measure Records

Retain 10 years after measure is voted on, destroy

125 Government Affairs Special Project Records

Retain 5 years after project ended, superseded or obsolete, whichever is longer, destroy

126 Legislator's Correspondence

Retain 10 years after legislator leaves office, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

None

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Legal & Strategic Services

Program: Legal

Schedule number: 2018-002

Program Description

The Legal Services Division provides all workers' compensation claims-related legal services and premium audit policy-related legal services to the company and coordinates the services provided by the Oregon Department of Justice on non-claims legal matters. It represents SAIF and its insured before the Office of Administrative Hearings, Workers Compensation Board, Oregon Court of Appeals, Oregon Supreme Court, Federal Benefit Review Board and in very rare cases, before the U.S. Court of Appeals and U.S. Supreme Court.

The Division is organized into eight teams performing six separate functions. Legal Management manages the divisional teams, as well as develops claims-related legal opinions and advice, which it distributes within SAIF, to insured firms and to other parties as needed. Three trial teams litigate disputed workers' compensation claims, including federal claims; and premium audit cases.

The Appellate team litigates disputed workers' compensation claims before the Workers' Compensation Board, Oregon Court of Appeals, Oregon Supreme Court, U.S. Court of Appeal and the U.S. Supreme Court. The Appellate team also coordinates the activities of the Appellate/Board Review Committee, an internal group of staff members of the Claims and Legal Divisions, that evaluates the merits of claims for potential appeal to the Workers' Compensation Board, Oregon Court of Appeals or Oregon Supreme Court.

The Legal Operations Team coordinates logistics and monitors all case-related activities using the LegalNet system, which records basic litigation information of disputed workers' compensation claims, including federal claims. Legal Operations also receives and documents all claims-related subpoenas, complaints, tort notices, summons, liens and foreclosures served on SAIF Corporation through the registered agent.

The Third Party team adjusts and manages claims against negligent third parties, including negotiations, settlements, and securing liens to recover costs of workers' compensation claims. The Department of Justice represents SAIF in all third-party litigation. Third party also provides support on Part II insurance coverage issues and litigation under SAIF's contract of insurance

The Procurement team purchases goods, services and capital items for the corporation. It researches product information, issues competitive solicitations such as Requests for Information and Requests for Proposals, evaluates bids and awards contracts and purchase orders. The section uses the Accounting Division Accounts Payable Integral AP system to enter cost and billing data. Accounting compares invoice and voucher information when paying bills.

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Program Records

- 127 Advice Attorney Records**
Retain 10 years, destroy
- 128 Appellate/Board Review Committee Records**
 - (a) Retain minutes 2 years, destroy
 - (b) Retain all other records 1 year after all appeals exhausted, destroy
- 129 Claims Legal Advisory Committee Records**
 - (a) Retain minutes and agendas 5 years, destroy
 - (b) Retain bulletins 15 years, destroy
- 130 Continuing Legal Education (CLE) Books and Tapes**
Retain 5 years, destroy
- 131 Corporate Legal Research Records**
Retain 15 years, destroy
- 132 Corporate Litigation Case Files**
Retain 10 years after case closed, destroy
- 133 Daily Lawson (Stock Transaction) Reports**
Retain 1 year, destroy
- 134 Federal Claims Litigation Case Files**
Retain 15 years after legal file closed, destroy
- 135 Legal Management Team Records**
Retain 5 years, destroy
- 136 Litigation Case Files**
Retain 10 years after case closed, destroy
- 137 Purchasing Records**
Retain 6 years, destroy
- 138 Quarterly Management Reports**
Retain 10 years, destroy
- 139 Subpoena Log**
Retain 2 years, destroy
- 140 Summons and Complaint Log**
Retain 2 years, destroy
- 141 Third Party Claims Account Settlement Records**
Retain 6 years, destroy
- 142 Third Party Tort Claims Files**
Retain 6 years after case closed, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Lawson, K2
LegalNet

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Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Legal & Strategic Services

Program: Regulatory Affairs

Schedule number: 2018-002

Program Description

Regulatory Affairs is responsible for SAIF's relations with state regulatory agencies such as the Department of Consumer and Business Services (DCBS). It monitors Workers' Compensation Division rule making activities and related regulatory issues. Regulatory Affairs also coordinates the company's relationship with the Division of Financial Regulation. This involves monitoring and responding to proposed Administrative Rules and insurance related regulatory issues affecting SAIF. Regulatory Affairs coordinates the annual filing of SAIF's rates and forms with the Insurance Division and acts as the company's regulatory representative to the state's insurance rating and statistical agent, currently the National Council on Compensation Insurance (NCCI). It also coordinates the company's response to the Small Business Ombudsman's Office regarding claims and customer policy issues.

Program Records

143 Rates, Rating Systems and Rating Plans Records

- (a) Retain annual insurance rates and form filing records 75 years, destroy
- (b) Retain regulatory reporting issues and resolutions 15 years, destroy
- (c) Retain all other records 10 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

Business Online

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Agency: State Accident Insurance Fund Corporation

Division: Legal & Strategic Services

Program: Strategic Planning

Program Description

The Strategic Planning division facilitates and drives SAIF's corporate strategy by bringing clarity and insight to bridge the divide between mission and action.

Strategic Planning evaluates and proposes responses to external opportunities and threats, develops and updates the strategic planning process, and provides analysis and metrics for evaluation of the strategic plan. The division also assists with business development and special projects including the launch and incubation of new tactics and projects.

Program Records

144 Enterprise Strategic Plan

Retain 25 years, destroy

145 Management Research and Analysis Reports

(a) Retain reports sent to Executive Leadership Team or Board 25 years, destroy

(b) Retain all other reports 10 years, destroy

(c) Retain final project files 2 years, destroy

(d) Retain transitory project files until superseded or obsolete, destroy

146 Project Tracking Records

Retain 2 years, destroy

147 Quarterly Enterprise Challenge Reports

Retain 10 years, destroy

148 Quarterly Enterprise Performance Reports

Retain 10 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Business Online

Impromptu

SAS

Slack

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Marketing

Section: Corporate Agency

Schedule number: 2018-002

Program Description

The section appoints insurance agents and administers insurance sales agency contracts. Marketing consultants work with insurance agents and agencies to develop profitable business, develop new sales, improve business retention, develop loss ratios and provide technical advice and assistance.

Program Records

149 Agent Updates

Retain 3 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

Business Decisions System (BDS)

Workers Compensation Insurance System (WCIS)

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Schedule number: 2018-002

Agency: State Accident Insurance Fund Corporation

Division: Marketing

Section: Corporate Marketing

Program Description

Marketing develops, implements, and monitors the corporate sales and retention goals. It assesses customer needs and helps design insurance products that meet those needs. It also assesses the competition to ensure SAIF's market leadership position and financial vitality.

Marketing trains internal and external sales staff, primarily through annual marketing seminars. Section staff makes all arrangements for training facilities, travel, lodging, meals and Continuing Education Credits (CEC). Marketing also does surveys of employees, employers, agents and others to gather and analyze marketing data and related information. The surveys result in research reports on marketing, customer needs and related workers' compensation insurance issues for division and corporate management. Staff also monitors corporate sales and retention results and create reports regarding sales and business retention.

In addition, Marketing identifies ways to reduce premium rates, and evaluates programs and systems for profitability. It also identifies profitable market segments, develops services and products for targeted customers and attracts interstate employers with Oregon business. The section also uses the Business Decisions System (BDS) as a core reporting tool to gather and analyze data from various databases.

Program Records

150 Competitive Updates

Retain 3 years after notification, destroy

151 Corporate Marketing Project and Development Records

(a) Retain final plans 10 years, destroy

(b) Retain development records 3 years, destroy

152 Marketing Research Records

Retain 10 years, destroy

153 Sales and Retention Results Reports

Retain summary reports 10 years, destroy

154 "Wrap-Up" Proposal Records

(a) Retain 'wrap-ups' not written 5 years from declination or notice of non-SAIF selection, destroy

(b) Retain all other records 75 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

BDS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Marketing, Sales, and Communication

Program: Communication and Design

Schedule number: 2018-002

Program Description

The Communication and Design program is responsible for creating and maintaining the internal and external image of SAIF to assure the company is consistent in its public statements and contacts. It is the primary point of contact between SAIF and the media and ensures that the company “speaks with one voice.”

Communication and Design produces and distributes print and electronic communications to inform employees, policyholders, medical care providers and insurance agents about issues relating to workers’ compensation insurance and corporate activities.

Communication and Design coordinates the design, approval, and distribution of other publications produced by SAIF divisions, such as email, newsletters, brochures, flyers, posters, charts and reports. It also produces annual reports; safety guides, videos, and online trainings for industry groups; and acts as a clearinghouse for all published material used by the company. In addition, the program coordinates corporate advertising through a contract-advertising agency.

Program Records

155 Advertising Records

- (a) Retain advertisements until agency sunsets, destroy
- (b) Retain photographs of good or high quality permanently, transfer to State Archives after 25 years
- (c) Photographs of poor quality, destroy
- (d) Retain all other records 1 year after publication, destroy

156 Annual Reports, 1980-[ongoing] .25 c.f.

Retain 1 copy permanently, transfer to State Archives after 20 years

157 Communications Service Request and Project Tracking Records

Retain 5 years, destroy

158 Customer and Agent News Magazines, 1975 - [ongoing] 1 c.f. (plus electronic files post 1997)

Retain 1 copy permanently, transfer to State Archives after 20 years

159 Employer Guides

Retain 25 years, destroy

160 Historical File

Retain permanently, transfer to State Archives after 25 years

161 Master Publications Files

Retain 5 years, destroy

162 Public Relations Audio-Video Records

- (a) Retain President’s messages 10 years, destroy
- (b) Retain videos of a significant or historical nature permanently, transfer to State Archives after 20 years
- (c) Retain all other records 5 years, destroy

OREGON STATE ARCHIVES
Records Retention Schedule

Edition: November 2022

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

Databases Used

Project Tracking

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Policyholder Services

Section: Branch Offices

Schedule number: 2018-002

Program Description

SAIF divides the state into three geographic regions: Northern Region (Portland Office); Central/Eastern Region (Salem, Bend, Baker City, and Pendleton Offices); and Southern (Eugene/North Bend Offices/Medford and Roseburg Offices). Regional Directors, along with Regional Managers in some of the offices, oversee integrated teams of direct service staff, with policyholder services being the primary activity. Return-to work consultants, loss control consultants, premium auditors, senior account representatives and support staff are members of each team and work with specific policyholders. Fraud and Investigations Division staff works out of the branch offices in Northern, Southern and Central, cities report to division managers in Corporate Headquarters. Unlike the other regions, the Northern team has a separate Premium Audit Team with a Team Leader and a separate support staff team with a supervisor. Unlike the other regions, the SAIF Medford office includes two attorneys and one legal assistant who report to a managing attorney from Corporate Headquarters.

Program Records

163 Policyholders Lists

Retain 1 year, destroy

164 Possible Prospect Records

Retain 5 years after last activity, destroy

165 Regional Results and Strategy Documents

Retain 5 years, destroy

All other official copy documents are sent to and kept at Corporate Headquarters.

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

BDS

Budget Maintenance

Claims Imaging

EAIP Maintenance

Experience Rating

Impromptu

Premium Audit DB

Rates and Query

Silverplume

WCIS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Safety & Health Services

Program: Safety and Health Services

Schedule number: 2018-002

Safety and Health Services includes the Safe and Healthy Workplace Center, safety and health consultants, industrial hygienists, *Total Worker Health*® and safety advancement and innovation.

Safety and Health Services provides SAIF policyholders with high quality workplace safety consultation services that contribute to SAIF's goal of preventing occupational injuries and illnesses. Safety and Health Services may perform hazard surveys and risk analysis for prospective firms before insurance is written to evaluate whether to insure the firm and to make recommendations about premiums. Safety and Health Services provides technical assistance to branch offices and policyholders with ways to reduce the risk of on-the-job injuries and illnesses. Safety and health consultants also receive referrals and requests from claims adjusters, policyholders, return to work consultants, and other business partners to identify, evaluate and control safety and health hazards. This work may include a variety of exposure assessments including air sampling, noise testing, and research on hazardous chemicals and work place processes.

Safety and Health Services also determine safety and health training needs and provide training in support of SAIF's mission, vision, and charter. They develop training programs to help prevent accidents, injuries, and illnesses. They also develop resources in support of occupational injury and illness reduction.

Safety and Health Services satisfies the requirements of Insurer's Programs in Division 1 OAR (437-001-1035).

Safety and Health Services researches and monitor accident and illness trends, as well as topics and emerging issues that have an impact on workplace safety and health. The Safe and Healthy Workplace Center maintains a professional library of reference material including ANSI standards. It also maintains Safety & Health website resources, including survey videos, training, and articles related to physical, chemical and biological agents in the workplace.

Safety and Health Services Records

166 Industrial Hygiene Files

Retain 75 years, destroy

167 OR OSHA Correspondence Associated With Accounts

Retain until superseded or obsolete, destroy

168 Risk Profiles

(a) Retain saved updates records 5 years, destroy

(b) Retain all other records until superseded or obsolete, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the ***State Agency General Records Retention Schedule OAR 166-300*** or SAIF's Records Management Unit.

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Databases Used

Cognos Impromptu

IDA (Imaged Document Application) and Hyland OnBase

RCT (Risk Control Technologies) Business Online

SAS Institute

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Service Center

Schedule number: 2018-002

Program Description

The Service Center is the company's primary contact for prospective customers and existing accounts assigned to the small business program. It receives and processes new business applications, issues quotes, sets up and issues new policies, changes, renews and cancels policies for small business customers under \$20,000 premium and provides some Loss Control services. It also provides ongoing customer service for small business accounts. The Service Center is located in Portland and all customer contact is by telephone, mail, fax and email. Referrals are made to other program offices in SAIF for specialized assistance.

On occasion, the Service Center receives premium payment checks in the mail and transfers the checks to the Corporate Accounting Division. The division calculates and requests premium refunds to employers and notifies Cashiers in Corporate Accounting to issue the refund checks.

Program Records

169 Accounts Working Reports

Retain until superseded or obsolete

170 Group Solicitation Records

Retain 1 year, destroy

171 Large Service Center Accounts Reports

Retain 1 year, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

CICS

BDS

Business Online

WCIS (including PMS, Legacy AR)

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Schedule number: 2018-002

Agency: State Accident Insurance Fund Corporation

Division: Underwriting

Section: Accounting/Billing

Program Description

Accounting/Billing is responsible for maintaining accurate, timely and understandable premium billing and receivable information for company users. It receives, processes and makes adjustments to employer payroll reports, processes premium payments and billing adjustments. Insured firms are required to report the amount of their monthly payroll to their workers' compensation company.

Accounting/Billing balances accounts and maintains accounts receivable controls for insured firm accounts, prepares and mails statements of account and answers inquiries from insured firms and branch offices regarding insurance premium accounts receivable issues. It processes premium audits performed by the Premium Audit Section (see separate program description) and prepares billings for retrospective evaluations and claims costs that result from the audits. When an account is closed, credits and deposits are refunded.

Accounts Receivable information is provided electronically monthly to Corporate Accounting Division (see separate program description) for posting to the company's General Ledger and financial statements. Accounts Receivable General Ledger accounts are balanced and reconciled monthly.

Program Records

172 Employer Payroll Report Processing Records

(a) Retain processing records 6 years, destroy

(b) Retain employer payroll reports until processed, transfer to Underwriting Policy

173 Flex-Pay Premium Billing Records

Retain 4 years after evaluation is completed, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Legacy AR

Legacy Commission

Workers Compensation Insurance System (WCIS)

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Underwriting

Section: Assigned Risk

Schedule number: 2018-002

Program Description

Assigned Risk is responsible for issuing and maintaining workers' compensation insurance policies for firms designated as "assigned risk." The section processes new business applications, makes policy and endorsement changes and cancels policies. It performs continuing reviews and maintenance of assigned risk policies in force. The section provides notification of coverage to regulatory bodies such as the Department of Consumer and Business Services (DCBS) and the state's rating bureau, currently the National Council on Compensation Insurance (NCCI). These functions are performed in coordination with the Underwriting Section/Underwriting Services processes premium audits performed by the Premium Audit Section (see separate program description), and calculates the appropriate amount of deposits for insured firm's accounts. It also participates in quarterly operational audits of assigned risk businesses, annual self-audits and every three years an on-site audit by NCCI. The section makes quarterly income and loss reports to NCCI of all premiums received, claims activities, reserve fund levels, producer fees, uncollectible accounts, legal fees and collection fees associated with assigned risk accounts. The section also completes an annual "take-out-credit" review for NCCI. This review is used by NCCI to give credit to SAIF for policies written out of the assigned risk pool into SAIF's regular business. The policies are "taken out" of the assigned risk pool and written as regular business.

Program Records

174 Assigned Risk Pool Reports

Retain 25 years, destroy

175 Assigned Risk Servicing Carrier Bid Materials

Retain 20 years, destroy

176 Audit Reports

(a) Retain summarized audit reports 20 years, destroy

(b) Retain all other records until next audit completed, destroy

177 Loss Ratio Performance Reports (Paid Loss Ratio Incentive Program)

Retain 20 years, destroy

178 NCCI Expense, Income and Loss Records and Commission Statements

Retain 50 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Business Online

Legacy AR

NCCI (third party)

Workers Compensation Insurance System (WCIS)

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Underwriting

Section: Credit and Collections

Schedule number: 2018-002

Program Description

The Credit and Collections Section is responsible for timely and aggressive management of SAIF's overdue accounts receivables through collections of past due premiums and missing employer payroll reports. It is also the collection agent for recovery of monies owed to SAIF through the efforts of the Fraud and Investigations Division and the Claims Division (see separate program descriptions). In addition, the section is responsible for periodic collections of other monies due SAIF for such things as appellate judgments, overpayment of sales commissions and employee pay adjustments.

Credit and Collections issues demands for payment, authorizes cancellation of accounts for nonpayment of premiums and/or missing employer payroll reports. It prepares liens and prepares accounts for litigation or directly handles the Small Claims Court process. The section determines accounts to be charged off as bad debts and files proof of claims in bankruptcy cases.

Credit and Collections also receives and evaluates requests for credit approval from other sections of SAIF. It evaluates the credit worth of prospective customer firms, periodically reviews the credit standing of insured firms, and maintains credit files/histories on existing policies and potential new business.

Program Records

179 Customer Credit Reports and Financial Statements

Retain 7 years, destroy

180 Daily Letter and Certified Letter Logs

Retain 3 years, destroy

181 Letters of Credit Files

Retain 1 year after expiration, destroy

182 Sole Proprietor SOIL Collection Reports

Retain 5 years after audit, destroy

183 Statutory Aging Reports

Retain 3 years, destroy

184 Uncollectable Debt Write-off Approvals

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

OREGON STATE ARCHIVES
Records Retention Schedule

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Databases Used

BDS

Dunn and Bradstreet (third party)

Equifax (third party)

Experion (third party)

OpenOnline (third party)

WCIS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Underwriting

Section: Premium Audit

Schedule number: 2018-002

Program Description

The Premium Audit Section performs and analyzes audits of insured employers to determine if insured firm's premiums were appropriate during the policy period being audited. Other purposes are to ensure compliance with statutes and the state's rating bureau, currently the National Council on Compensation (NCCI) rules, as well as SAIF's policies and procedures.

Field auditors inspect and evaluate insured firm's records and operations. Audit Specialists review the audits to determine if the firm's premium levels were appropriate. Audits typically result in retroactive adjustment to a firm's premiums. Disputed audits may be appealed to hearing at Department of Consumer and Business Services (DCBS). The section also performs corporate self-audits as directed by National Council on Compensation Insurance and assists NCCI with on-site audits.

Program Records

185 Premium Audit

Retain until processed, image to Underwriting File

186 Premium Audit Appeal Hearings Log

(a) Retain log 30 years, destroy

(b) Retain all other records until resolved, image to Underwriting policy file

187 Premium Audit Drafts

Retain 1 year, destroy

188 Premium Audit Tracking Records

Retain reports 15 years, destroy

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

BDS

PA Tracking

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: November 2022

Organizational Placement

Agency: State Accident Insurance Fund Corporation

Division: Underwriting Services

Section: Underwriting

Schedule number: 2018-002

Program Description

Underwriting acquires and analyzes information about firms and groups applying for workers' compensation insurance coverage and decides whether SAIF should offer or refuse coverage based on an assessment of the insurability of the firm. It calculates risks, sets premiums based on risks and determines adequate levels of coverage to satisfy legal requirements.

The section monitors and manages policy issuance and renewal in collaboration with other divisions. It receives and processes new business applications for workers' compensation insurance, determines the applicant's insurability and acceptability, accepts or denies coverage, issues quotes, sets up and mails new policies. Most policies under \$20,000 premium are processed by the Service Center (see separate program description). Underwriting also monitors currently insured firms to evaluate relative risk through examination of each insured firm's safety practices, past and expected losses, claim frequency and severity, loss ratios and financial standing. It determines rating classes and sets premium rates for specific firms, using the pertinent rules and statutes.. While policies are in effect, underwriting employees change, renew and cancel policies and provide notification of coverage to regulatory bodies such as the Department of Consumer and Business Services (DCBS) and the state's designated rating organization, the National Council on Compensation Insurance (NCCI). It also issues and maintains guaranty contracts for new and renewing policies and endorsements for mid-policy changes.

This section coordinates with regulatory bodies and resolves inconsistencies on double coverage situations, termination notices, guaranty contracts and DCBS workday assessment contributions. It also files rating plans and revisions with the DCBS. It reviews and issues retrospective rating evaluations of firms and industries that have selected that type of program, and provides support and advice to branch offices on classifications, experience ratings, retrospective ratings and other rating matters.

Underwriting acts as a liaison with the Marketing Division to work with firms and associations applying for group insurance plans, and with insurance agents and agencies to determine initial acceptance and evaluation of risks. Underwriting also conducts research projects to study underwriting and insurance coverage issues and related topics to provide information for use by senior managers, regulators and others.

Program Records

189 Associated Oregon Loggers/Loggers Assurance Company Inc. Special Coverage Records

Retain 10 years after all policies terminated and all litigation and claims resolved, destroy

190 DCBS Market Conduct Examination Reports

Retain 10 years destroy

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Edition: November 2022

191 Experience Rating Modification Records

- (a) Retain modification listings until entries verified, destroy
- (b) Retain quarterly and monthly policy renewal rating reports 1 month, destroy
- (c) Retain Experience Rating Modifications, account consolidation listings, and payroll and loss data 75 years, destroy
- (d) Retain all other records 3 years, destroy

192 Oregon Contractors Classification Premium Adjustment Program (OCCPAP)

Retain 10 years, destroy

193 Oregon Rate Advisory Committee (ORAC) Records

Retain 50 years, destroy

194 Policy Maintenance Records

- (a) Retain routine transaction records 1 month, destroy
- (b) Not created for more than 3 months
- (c) Not created for more than 6 months
- (e) Retain statistical reports 2 years, destroy
- (f) Retain all other records 75 years, destroy

195 Policy Records

- (a) Retain daily trailer reports 1 month, destroy
- (b) Retain all other records 75 years, destroy

196 Prospect and Renewal Records

- (a) Retain 5 years after last denial, destroy
- (b) Retain prospect and renewal logs 1 year, destroy

197 Prospective Loss Control Analysis Records

Retain 3 years, destroy

198 Retrospective Rating Evaluation System Reports

- (a) Retain retrospective evaluation system reports 1 year, destroy
- (b) Retain retrospective rating plan worksheets 6 years, transfer to Underwriting Policy File

199 Underwriting Policy Files

- (a) Retain the following for 6 years, destroy:
External Loss Runs, Loss Control Reports, Notice of Election, Submissions or Quotes, Financial Documents, Fraud and Investigation Notices and Third Party Notices.
- (b) Retain the following for 75 years after cancelled, destroy:
Policies, Endorsements, Applications, Guaranty Contracts, Cancellation Notices, Legal Notices, Renewals, Premium Audits, Ownership Information, Retrospective Rating Plan Worksheets, Binders and Coverage Acknowledgement Letters or any documents stamped or noted as permanent.

State Agency General Records Retention Schedule Records

For records that are not listed above please consult the *State Agency General Records Retention Schedule OAR 166-300* or SAIF's Records Management Unit.

Databases Used

Experience Rating