



The California State University



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# WORKERS' COMPENSATION

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## DESK LEVEL MANAGEMENT

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## WORK FLOW GUIDE

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DRAFT.....UPDATES continuing

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# 1. WC COORDINATOR DESK LEVEL MANAGEMENT REPORT

## ● Purpose:

To outline the step-by-step process for reporting and documenting any work-related injury or incident at your Campus.

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## ● Reporting Requirements

### ● 1. Use the approved reporting process.

- Report all work-related injuries using your **Sedgwick website or designated reporting system**.

### ● 2. Report injuries promptly.

- All new injuries must be reported to **(SEDGWICK)** within **5 calendar days** of the employer (or supervisor) learning about the injury.
- Timely reporting ensures that the employee/injured worker receives appropriate benefits and prevents administrative delays.

### ● 3. Supervisor or Department report.

- The **Supervisor or Department** must complete an **Injury/Accident/Incident Report** immediately or no later than **3 days** after learning about the injury.
- This report is a key document in every workers' compensation case.

### ● 3. WCC Department reporting responsibilities.

- Communication begins. Contact with the departments, Supervisors, employee for collecting all documents and information surrounding injury.
  - Contacting to Sedgwick immediately if serious injury or for reporting of claim.
  - (DWC1) Employee Claim for Workers' Compensation Benefits and First Fill notices or confirmation of incident only record keeping requirement and reporting to Sedgwick if applicable for your Campus/Auxiliary Division.
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## ● Required Documentation

(reminder not all forms are needed to initially report a claim to Sedgwick; they can be provided later)

● **4. Employer's First Report (Form 5020).**

- The **Workers' Compensation Coordinator (WCC)** prepares and submits the official **Employer's First Report of Injury**.

● **5. Employee/injured worker Claim Form (DWC-1).**

- The **DWC-1 Form** must be provided to the employee/injured worker within **1 working day** of employer's knowledge of injury.
- Complete the bottom portion of **DWC-1 Form** and **date** the form was given and **how** it was provided (in person, email, or mail).
- Keep a copy for your records and include it in the report to Sedgwick.

● **6. Supervisor Injury/Incident Report.**

- With each injury/incident report obtain the Supervisor Report for details or reported injury.
- Forward this information to Sedgwick as part of the claim documentation.

● **7. Witness information.**

- If there were any **witnesses**, collect their **names, contact details, and statements if taken**.
- Forward this information to Sedgwick as part of the claim documentation.

● **8. Police or Security reports.**

- If the **University Police Department (UPD)** or **campus security** was involved, forward their reports or details to Sedgwick.

● **9. Video or camera footage.**

- If the incident may have video evidence recorded, notify Sedgwick immediately for follow-up.
- Preserve any footage according to your campus retention policy.

● **10. Subrogation/Third-party involvement.**

- If another individual or company may have caused or contributed to the injury, document their information and notify Sedgwick to determine if further investigation is required.

● **11. Medical referral details.**

- Record which **medical clinic or facility** the employee/injured worker was referred to for treatment.
- WCC will retain the documentation of the **authorization details** from the **Supervisor or WCC**.

● **12. Medical Work Status Management.**

- Work Status Medical Report
- WCC documents the referral to Dept's on accommodation of return to work
- WCC document for all follow up exams to determine if return to work has changed and referral back to Dept's on accommodation of return to work
- WCC communicates back to Sedgwick
- WCC will retain the documentation of the **authorization details** from the **Supervisor or WCC**.

● **12. Injury knowledge from other sources.**

- If the injury is reported indirectly (e.g., through other wo-workers direct, litigation, HR, Payroll, or another department), WCC will collect the details and provide names and contact details/documentation and provide Sedgwick for further investigation.

● **13. Wage Statement.**

- If the injury may involve indemnity file with **investigation, litigation**, with or without **lost time**, prepare and submit a **wage statement** for 52 weeks prior to date of injury to Sedgwick to verify benefit eligibility, average weekly wages and compensation rates.

● **14. Contact list and Cooperation for information between Sedgwick and Campus/Auxiliary Dept.**

- The **WCC** will provide a **contact list** for Sedgwick contacts and investigation that may include Dept Management, supervisors, HR, witnesses, and medical providers. Sedgwick may request employer level documents and/or require provision of further employer level documents as well and investigator assignment

● **15. Return-to-work coordination.**

- The **WCC** must coordinate any **return-to-work (RTW)** status with the **Department** and possibly **ADA desk** with written notice of status to Sedgwick of any changes.

## ● 16. Optum RX First Notice.

- **MAKING IT EASY... TO GET WORKERS' COMPENSATION PRESCRIPTIONS FILLED.**

## ● 16. Record retention.

- Keep all reports, forms, pertinent emails and correspondence **electronically** for future reference.
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### **Reminder:**

Always document every action you take — who was notified, when, and how and details. Accurate, timely documentation helps protect both the employee/injured worker and the employer.

## 2. REPORTING A WORKERS' COMPENSATION CLAIM

### **Reminder:**

Timely reporting of injuries to Sedgwick within **five (5) calendar days** from the date the employer knowledge of an injury.

Timely reporting helps ensure compliance and prompt handling of employee/injured worker benefits.

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## ● Reporting Process Overview

### ● 1. Create an Injury Reporting Website or Portal on Campus

- Develop and maintain a **Campus or Auxiliary Injury Reporting Website** or online tool that employee/injured workers, supervisors, departments, and witnesses can use to report an injury.

### ● 2. Submit Initial Forms/Documentation to Sedgwick

- **Fax or email** the initial injury documentation to the **Sedgwick Claims Examiner** and **Team Leader**.
- Reminder not all documents are required to report a claim but will be required as received:

### ● 3. WCC Communication and Follow-up

- The **Workers' Compensation Coordinator (WCC)** must contact the **Campus or Auxiliary Division** to confirm injury details, gather facts, and verify reporting accuracy.
- Ensure all documentation is provided to Sedgwick.

#### ● 4. Claim Status Initial Coding in Sedgwick system

- All new injury reports are initially classified as “**Pending**” by Sedgwick.
- After reviewing the details, the **Claims Examiner or Team Lead** will finalize the type of loss as one of the following:
  - **Incident Only** (no treatment needed)
  - **First Aid / Minor Medical** (if initial first aid at a medical clinic and medical bill to follow)
  - **Medical Only** (treatment, no lost time, no disputes)
  - **Indemnity** (investigation required or lost time from work)

#### ● 5. Reporting New Loss to Sedgwick. Method Options;

- **Preferred Method:**

Use the **Global Intake Claim Entry Tool** for electronic reporting:

👉 <https://intake.sedgwick.com>

- Electronic reporting provides immediate confirmation and claim number assignment.

- **Auxiliary Division:**

If unable to report electronically, **fax** all injury documents to Sedgwick:

📠 **916-851-8079**

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#### ■ Note:

Keep a copy of all submitted claim documentation (including email or fax confirmation) in your local **WCC desk file** for reference purposes.

Save a copy of your completed Sedgwick Intake Report Form and retain for your records.

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### 3. EMERGENCY OR CRITICAL INJURY / SITUATIONS

#### ■ Reminder:

In any **serious or life-threatening injury**, immediate emergency response takes priority. Always ensure the safety of the injured employee/injured worker and others before beginning claim procedures.

## ● Emergency Response Steps

### ● 1. Call Emergency Services (911)

- If the injury appears **severe or life-threatening**, immediately **dial 911**.
- The **University Police Department (UPD)** will automatically be linked to the emergency call.
- Remain on the line to provide details until emergency personnel arrive.

### ● 2. Follow Campus/Auxiliary Injury & Illness Prevention Program (IIPP)

- Each Campus must follow their approved **IIPP policy** when handling injuries.
- Ensure supervisors and leads know the appropriate emergency steps for their area.

### ● 3. Notify Key Contacts Immediately

- **Workers' Compensation Coordinator (WCC)** – immediately by phone and email if necessary.
- **Sedgwick, Examiner or Supervisor** – contact by **phone or email** immediately to report the emergency or critical injury details.
- **Department Head or Manager** – inform according to local procedures.

### ● 4. Ensure Proper Medical Response

- Supervisors or UPD at the scene should assist in coordinating **ambulance service or emergency transport** to the approved medical facility.
- Always use an **authorized or designated emergency medical provider** for work-related injuries.

### ● 5. Plan for Safe Transportation

- Confirm arrangements for the injured worker's safe transport.
- **⚠** for example: it is not recommended or **Do not allow** an injured employee/injured worker to drive themselves to medical care if they have **head trauma or potential loss of consciousness**.

### ● 6. Notify Required Departments

- Contact **Environmental Health & Safety (EH&S)** if required by your **IIPP** or Campus-specific policy.
- Document all notifications, including the date, time, and who was contacted.

### ● 7. Supervisor's Role for Medical Treatment

- The **Supervisor** must ensure all forms and reports (Injury/Illness or Supervisor's Report) are completed promptly.

- Submit completed forms to the WCC for review and claim initiation.
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#### **Quick Reference Summary:**

-  **Emergency Response:** Dial 911 → Notify WCC & Sedgwick → Follow IIPP.
  -  **Medical Care:** Use designated providers and document actions taken.
  -  **Reporting:** All emergency injuries must be documented and reported to Sedgwick immediately by phone or email to Claims Examiner, Team Leader or Manager and complete timely claim reporting within **5 days** of employer knowledge.
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## **4. LABOR CODE 5401 – FIRST AID – DEFINED**

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LABOR CODE 5401. (a) Within one working day of receiving notice or knowledge of injury under Section 5400 or 5402, which injury results in lost time beyond the employee/injured worker's work shift at the time of injury or which results in medical treatment beyond first aid, the employer shall provide, personally or by first-class mail, a claim form and a notice of potential eligibility for benefits under this division to the injured employee/injured worker, or in the case of death, to his or her dependents.

As used in this subdivision, "first aid" means any one-time treatment, and any follow up visit for the purpose of observation of minor scratches, cuts, burns, splinters, or other minor industrial injury, which do not ordinarily require medical care. This one-time treatment, and follow up visit for the purpose of observation, is considered first aid even though provided by a physician or registered professional personnel. "Minor industrial injury" shall not include serious exposure to a hazardous substance as defined in subdivision (i) of Section 6302. The claim form shall request the injured employee/injured worker's name and address, social security number, the time and address where the injury occurred, and the nature of and part of the body affected by the injury. Claim forms shall be available at district offices of the Employment Development Department and the division. Claim forms may be made available to the employee/injured worker from any other source.

## 5. FIRST AID/NO TREATMENT REQUIRED CLAIM HANDLING:

### ● Know your campus procedure.

- Confirm if your Campus manages *First Aid claim documents* internally, or if they must be reported to **Sedgwick** for record keeping.
- Document your process in your local desk reference guide.

### ● Timely reporting.

- Complete and sign the *Injury/Illness* or *Supervisor's Report of Injury*.
- Send documents to the **Workers' Compensation Coordinator (WCC)** by fax, email, or electronic submission **within 3days/72 hours**.
- Notify the **WCC, EH&S or Risk Mgmt. for near miss or injury prevention review**.
- Review your **IIPP plan for procedure on first aid/near miss injuries**.

### ● Provide first aid care.

- Ensure the employee/injured worker receives appropriate *first aid* for minor injuries.
- Determine the employee/injured worker to return to work if they are medically able.
- Document all actions and details of the incident on the *Supervisor's Report of Injury*.

### ● If medical treatment is later requested:

- Notify the **WCC immediately**.
- Provide the employee/injured worker with a **DWC-1 Claim Form within 1 working day**.
- Report to Sedgwick medical treatment sought or requested.

### ● Reporting to Sedgwick(if applicable):

- The **WCC** will complete new loss reporting using *global intake report* or Auxiliary will *fax new loss report* to Sedgwick, if the incident was not previously reported.
- If an incident file already exists with Sedgwick, the **WCC** or Auxiliary Division will contact Sedgwick by phone or email for medical treatment status to begin new loss investigation contacts and update claim coding.
- Provide all original documentation, first aid notes, incident reports, and the date the **DWC-1** was provided/returned to Sedgwick.

### ● Record retention and documentation:

- Keep copies of all First Aid and Incident documents for future reference.
- Maintain investigation notes, communications, and reports in your local files.
- If the case is reportable, send all documents to Sedgwick via fax or email for initial review.
- Sedgwick will determine whether to keep the record as “Incident Only” or convert coding to a claim.

### ■ Quick Reference Summary:

- **\$ No medical bills** can be paid under an “Incident Only” file, *the file must be converted to a claim for payment processing by Sedgwick.*
- **💼 If a DWC-1 form was provided and returned** even if your evidence supported an employee/injured worker “Incident Only” file, you **must report as a claim** to Sedgwick. This DWC-1 per the Labor Code 5401 requires Sedgwick to handle as a claim vs incident/record only.

## 6. MEDICAL TREATMENT – INITIAL NOTICE OF CLAIM

### ■ Purpose:

To ensure all injured employee/injured workers receive timely and appropriate medical care, and that initial claim documentation is properly handled.

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### ● Step-by-Step Procedure

#### ● 1. Agreement with Occupational Medical Providers

- Each **Campus or Auxiliary Division** location must have designated occupational medical providers when injuries occur.
- Meet and Confirm an agreement with your occupational medical provider locations.
- Procedures between you and the medical location, expectations when an employee/injured worker is referred to for medical treatment.
- Internal procedures for employees/injured workers and medical provider. Documents, verbal authorizations, methods for initial treatment preapproval, or other methods to assure no delay for industrial examination.
- Work status response reports. Campus or Auxiliary Division Email, Fax or access to report system?

- Communication contacts/How to handle questions, treatment concerns and any subsequent exam status.
- If emergency care is needed, follow **Emergency Response Procedures** immediately.

## ● 2. Confirm Injury and Need for Medical Care

- When an injury is reported, **confirm details** with the employee/injured worker and **assess if medical attention is required/requested**.
- If emergency care is needed, follow **Emergency Response Procedures** immediately.

## ● 3. Confirm/provide Employee/injured worker with DWC-1 Form (Claim Form)

- Provide the injured employee/injured worker the **DWC-1 (Employee Claim for Workers' Compensation Benefits)** form **within 1 working day** of learning about the injury with medical treatment required.
- Document the **DWC-1 date provided** and the **method of delivery** (in-person, first class mail).
- Retain a **copy of the completed DWC-1** for your records and send copy to Sedgwick.

## ● 4. Medical Provider Referral

- Authorize for the employee/injured worker for examination at your **occupational medical provider**, immediately or upon request.
- Internal procedures for employees/injured workers treatment referral. Documents, verbal authorizations, methods for initial treatment preapproval, or other methods to assure no delay for industrial examination.
- **Pre-designated personal physician**, they may use that provider, but only if the pre-designation form is complete with signatures, approved and in **Campus or Auxiliary Division** records before the date of injury. Provide a copy of this form to **Sedgwick**, update your documentation where treatment was sought, and Sedgwick will contact the provider for medical and work status reporting requirements.
- **Self-procured treatment** by employee/injured worker. Obtain medical provider details name address and phone. Request and refer employee/injured worker to your industrial medical facility for examination. Provide details to **Sedgwick**, the self-procured medical provider. If employee/injured worker resists occupational medical provider referral, notify the **Sedgwick examiner** for communication assistance with the employee/injured worker and the industrial treatment requirements.
- Document the medical and/or work status updates in your desk file. Example: **clinic name, location, contact info, and date/time of the visit, next visit and medical work status results**.

#### ● 4. RX Pharmacy First Fill Notice

- **Rx Pharmacy First Fill Notice** – While the First Fill Notice is not a legally required notice, OPTUM – CSU First Fill Letter English-Spanish notice should be provided to all CSU employees who report a WC injury to facilitate the filling of prescriptions.

#### ● 5. Send Initial Documentation to Sedgwick

- Send all required documents to Sedgwick within **5 days** of employer knowledge of injury or immediately upon receipt of work status updates.
- Fax or email to the **Sedgwick examiner and Team Leader**.

#### ● 6. Confirm Claim Status

- The claim will remain in “**Pending**” status until Sedgwick **investigation** determines the final claim type (medical-only, indemnity file, etc).
- Continue to update Sedgwick as new information becomes available.

#### ● 7. Maintain Electronic Records

- Store all claim documentation electronically for easy reference and follow-up communication.

## 7. WORK STATUS MANAGEMENT

### Purpose:

To ensure accurate tracking of employee/injured worker claim status, work restrictions, lost time, and return-to-work coordination.

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#### ● Step-by-Step Procedure

#### ● 1. Obtain Medical Work Status Report

- After each medical visit, the **employee/injured worker is or should be provided with a Work Status or Doctor’s Note** that they can provide to their supervisor.
- The **WCC and Sedgwick** should receive the work status direct from medical providers. If not, review your procedures with occupational medical provider or Sedgwick will contact medical providers for receipt of medical reports.

- The **Supervisor and WCC** and sometimes **ADA** should review this immediately to determine if return to work full duty or modified duty can be provided.
- Medical Reports/Work Status Reports – confidential not to be shared outside of WCC desk management/ADA desk/Supervisor or dept management.

## ● 2. Modified or Light Duty Assignment

- If restrictions are listed, **WCC** will coordinate with the **Department, possibly ADA Desk or HR Department** to find a suitable temporary assignment.
- Work Status decision contacts: **Dept/Supervisor contact the employee/injured worker for return to work instructions and date available** (verify with your campus procedure).
- Provide **written return to work instructions** to the employee/injured worker and retain instructions in the department and WCC desk.
- If or as modified duty work status changes this written instruction may change. Review your internal procedure on who provides the written instructions.
- Work Status determination –**WCC** will notify **Sedgwick** in writing all return to work accommodation decisions.
- Always ensure modified duties to be performed and adhere to **medical restrictions or limitations**.

## ● 3. Lost Time

- If the employee/injured worker modified work cannot be accommodated, the **Dept/Supervisor or WCC** should contact the employee. Review your campus procedure.
- **WCC** will notify **Sedgwick** immediately in writing via e-mail with decision on work status.
- Provide a **Wage Statement to Sedgwick** if there is potential for **indemnity (lost time) exposure**.
- **Sedgwick** will review the file and notify the employee/injured worker and **WCC** for any benefit entitlements.
- **Sedgwick** will issue a VOD (Verification of Disability Benefits) notice to **WCC** with benefits payable or benefits ending, VOD if IDL has ended and Temporary Disability(TTD) is payable, wage loss temporary work hours, or a retro benefits VOD is now due.

## ● 4. Discharged or MMI Report Return-to-Work Coordination

- **Work status restrictions are unclear – WCC urgent contact to Sedgwick** to discuss and **Sedgwick** to notify medical provider for clarification.
- Upon release from medical care, confirm if the employee/injured worker can return to **full duty or with restrictions**.
- **Full Duty** return to work notify Department, Supervisor to contact employee with return to work instructions. **WCC** notify **Sedgwick** of final return to work decision details and dates of return to work.

- **Permanent work restrictions ordered by medical provider** The WCC coordinates with Supervisor/Department, ADA desk, and HR if applicable. This will require review and **interactive process meetings** for final determination if Campus or Auxiliary Division can provide permanent position.
- **Permanent work restriction** decision must be made **no later than 60 days after receipt of medical report by Sedgwick**. Sedgwick will provide WCC, in writing, before and during the **60 day due date** process for final decision.
- **Sedgwick** will not make return to work accommodation decisions; this is a Campus or Auxiliary Division requirement.
- **WCC** will obtain updates for final decision and notify **Sedgwick**. The interactive process may include **ADA desk, supervisor, WCC, HR, and employee**. Review your Campus or Auxiliary Division procedures.
- **Sedgwick** will require written response from ADA Desk through WCC and then **Sedgwick** will issue the required notice of 1. Offer of Regular, Modified or Alternative Work or 2. Voucher aka supplemental job displacement benefit if there was no offer made or the decision was made beyond the 60 days.
- Ensure all final work status documents are stored in the claim file and **Campus or Auxiliary Division** records.

## ● 5. Ongoing Communication

- **WCC** should maintain contact with the employee/injured worker during recovery to monitor progress and provide support. **WCC** also maintain status updates with **Sedgwick**.
- **Sedgwick** communication for all non-litigated lost time claims, with employee/injured workers every 14 days. For no-lost time claims they are expected to communicate with employee/injured workers no less than every 60 days.
- Document all updates and share significant changes with Sedgwick promptly.

## ● 6. Recordkeeping

- Retain all medical reports, correspondence, and claim documentation in the **electronic records system** for audit and compliance.

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## ■ Quick Reference Summary

-  **Send documents to Sedgwick** immediately or within 5 days.
-  **Modified duty** coordinated with Sedgwick, Dept, Supervisor, and/or ADA/HR.
-  **Permanent ADA Accommodations** coordinated with ADA, Dept/Supervisor, and HR.
-  **Keep communication active** with employee/injured worker and Sedgwick
-  **Maintain all records** electronically.

## 8. CLAIM INVESTIGATION AND COMMUNICATION PROCESS

### **Purpose:**

To ensure all reported claims are reviewed, documented, and investigated thoroughly through effective communication between the employer, Workers' Compensation Coordinator (WCC), and **Sedgwick**.

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### **Step-by-Step Procedure**

#### **1. Claim Assignment and time restraints**

- Once the injury report is submitted, Sedgwick will assign claim for **Examiner's contact information** and update the WCC.
- Sedgwick** must notify **WCC** then will issue the initial claim decisions benefit notice to the employee/injured worker to accept, delay or deny benefits within **14 days** of employers date of knowledge.
- If case is placed on delay, **Sedgwick** must issue final benefit determination within **90 days** of employers date of knowledge of injury.

#### **2. Initial Review and Verification**

- Sedgwick will review all submitted documents, including:
  - Supervisor's Report of Injury
  - Employee/injured worker's DWC-1 form
  - Witness statements or police reports (if applicable)
  - Medical reports and clinic notes
- Sedgwick will complete 4 point contacts to verify injury details and clarify missing information and conduct additional investigation requirements.

#### **3. Communication Expectations**

- All communications between Campus or Auxiliary Division and SEDGWICK must be **timely, factual, and documented**.
- Use **email or secure fax** for exchanging updates and documents.
- Include claim number (if available) in the subject line for tracking.
- Keep copies of all claim related communication and all correspondence for reference.

#### **4. Investigation Actions**

- Sedgwick will begin and conduct 4 point interviews/contacts within 1 working day or until completed and request additional evidence, with:
  - Witness interviews, WCC Coordinator, Supervisor Department, and Medical Providers.
  - Security camera footage (coordinate with University Police or Facilities) if confirmed will be requested
- If **third-party involvement** is suspected, provide details to Sedgwick for further investigation.

## ● 5. WCC Support Role

- **WCC** serves as the **primary contact** between the Campus or Auxiliary Division and **Sedgwick**.
- Ensure **accurate claim details** are supplied promptly to avoid delays.
- Maintain a **Claim Contact List** including all key personnel, supervisors, and HR representatives involved.
- Document all communications in the claim record for compliance and future reference.
- Should **Sedgwick** have difficulty reaching any contacts, the **WCC** will be notified for assistance in reaching departments, witnesses, etc.

## ● 6. Claim Status Updates

- **Sedgwick** will provide updates during the **initial investigation phase** and ongoing until a final compensability determination is made.
- **WCC** will be notified if a claim is to be accepted, delayed or denied:
  - **Delayed Pending investigation:** claim under review
  - **Accepted and determination for Medical Only treatment**
  - **Lost Time:** employee/injured worker off work and Disability benefits will be initiated
- **WCC** must notify Sedgwick of status changes and any follow-up actions required. (example employment status)
- **Waiver** of a Campus contact must be in writing from **WCC**.
- Special investigations, formal statements assignment of investigator involvement requires **WCC** approval. Such as to assign JD Wesson Investigator for formal investigation etc.
- Question of compensability: The **WCC** may not be able to determine if the injury is work related and notify **Sedgwick** to conduct investigation and give details if available.
- Litigated claims: **WCC** will provide written authorization for any attorney selection and **Sedgwick** will make the referral.
- Final compensability determination: **Sedgwick will notify** the **WCC** with their decision to accept/delay/deny all claims. If questions, discuss with **Sedgwick** or **WC Claims Consultant**.

## ● 7. Retention and Recordkeeping

- All claim-related communications, reports, and investigation findings must be stored **electronically, secure location** under the designated injury file.
  - Retain documentation according to your **campus or system retention policy**.
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## ■ Quick Reference Summary

-  **SEDGWICK assigns** Examiner and opens claim file.
-  **WCC serves** as the main contact for all communications.
-  **Provide evidence** (reports, photos, or video) promptly.
-  **Track claim status** and share updates with Supervisors.
-  **Retain all records** electronically for compliance.

# 9. INVESTIGATOR OR RECORDS REQUESTS / SUBPOENAS

## ■ Purpose:

To provide a clear process for responding to requests from Sedgwick, investigators, or attorneys for documents or evidence related to a workers' compensation claim.

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## ● Step-by-Step Procedure

### ● 1. Verify the Request

- Review any request or subpoena received from Sedgwick, investigator, or legal representative.
- Confirm the **case or claim number, employee/injured worker name, and type of records** requested.
- Notify the **Workers' Compensation Coordinator (WCC)** immediately upon receipt.

### ● 2. Gather Required Documentation

The following materials may be requested for review or legal purposes:

-  **Medical Release Forms** – Signed by the employee/injured worker allowing access to medical information.
-  **Medical History Forms** – Past medical data related to the injury or treatment.
-  **Application for Adjudication** – Legal filing that opens a case with the Workers' Compensation Appeals Board (WCAB).

-  **Campus Documentation** – Personnel files, ELR (Employee/injured worker and Labor Relations) reports, University Police Department (UPD) reports, and any grievance or civil suit information.
-  **Department Desk Files** – Notes, correspondence, or records maintained by the department about the employee/injured worker.
-  **Wage Statements / Leave Records** – Include Leave of Absence (LOA) requests, sick time, and vacation records.
-  **Confidential Investigations** – Ensure these are shared only with proper authorization.
-  **Video or Security Footage** – Coordinate with University Police or Facilities for retrieval.
-  **Maintenance or Equipment Records** – Provide relevant inspection or service logs.
-  **Environmental Health & Safety (EH&S) Reports** – Include any accident or hazard investigations.

### ● 3. Documentation Handling

- Ensure all shared materials are **accurate, complete, and relevant** to the request.
- Maintain **confidentiality**—share records only through **secure channels** (encrypted email, fax, or approved portals).
- Keep a **copy of all materials** provided for audit and reference.

### ● 4. Communication and Tracking

- Document the **date, time, and contact** for each request and submission.
- Notify WCC when all requested materials have been sent.
- File the confirmation or delivery receipt in the claim folder.

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### ■ Quick Reference Summary

-  Confirm and document all incoming record requests.
-  Collect only relevant, verified documents.
-  Protect confidentiality and use secure transmission.
-  Notify WCC and retain copies for the file.

## 10. ERGONOMIC EVALUATION

### ■ Purpose:

To ensure timely and proper evaluation of an employee/injured worker's workstation

following a physician's request, promoting safe and comfortable return-to-work conditions.

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## Procedure Overview

### 1. Notification of Need

- Within **five (5) days** of receiving a physician's request, the **Sedgwick Examiner** must notify the **Campus Workers' Compensation Coordinator (WCC)** that an ergonomic workstation evaluation is required.

### 2. Determine Evaluation Provider

- If the **Campus has an internal ergonomic provider**, they may perform the evaluation directly.
- If the **Campus cannot accommodate** the request internally, the **Claims Examiner** may help identify or refer a **qualified external vendor** to perform the evaluation.

### 3. Campus Responsibilities

- The **Campus** is responsible for:
  - **Payment** of ergonomic evaluation services and related equipment.
  - Ensuring invoices are **not charged to the Sedgwick claim file**.
  - **Training** employee/injured workers on correct ergonomic equipment use.
  - **Overseeing equipment maintenance, replacement, and recordkeeping**.
  - Ensuring all equipment is used properly and returned if the employee/injured worker separates from employment.

### 4. Equipment Ownership and Recordkeeping

- All ergonomic equipment purchased remains **Campus property**.
- The Campus must maintain a **record of evaluations, recommendations, and issued equipment**.

### 5. Claimant Communication

- If an injured employee/injured worker contacts **Sedgwick** requesting ergonomic assistance, the **Claims Examiner must refer the employee/injured worker to the WCC** for support and next steps.
- 

## Quick Reference Summary

- Notify Campus within 5 days of a physician's request.
- Campus may use an internal or approved external evaluator.
- All ergonomic expenses are paid by the Campus—not through Sedgwick.
- Campus manages training, equipment, and recordkeeping.
- Equipment remains Campus property after employee/injured worker separation.

## 11. RECORDS MANAGEMENT

### Purpose:

To maintain secure, organized, and compliant documentation of all Workers' Compensation claim materials for proper tracking, review, and audit readiness.

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### 1. Secure Recordkeeping

- The **Workers' Compensation Coordinator (WCC)** is responsible for maintaining all claim-related documentation in a **secure and confidential Campus**, either physical or electronic.
  - Access should be limited to authorized personnel only (e.g., WCC, HR, ADA desk, Payroll).
- 

### 2. Required Claim Documentation

The WCC should maintain a complete file for each reported injury, which includes the following:

#### First Report of Injury Documents

- **DWC-1 Form** — record if provided and returned by employee/injured worker.
  - **5020 Report** — Employer's First Report of Injury.
  - **Complete Intake Report** — copy of the initial incident or claim intake summary.
  - **Supervisor's Report of Injury** — including incident details and corrective actions.
  - **Investigation Reports** — from **University Police Department (UPD)** or other involved units.
  - **Video Evidence** — note any available footage and preserve accordingly.
  - **Medical Work Status Reports** — retain all physician progress notes and return-to-work forms.
  - **Witness Statements** — include any statements gathered related to the incident.
-

### ● 3. Litigation and Investigative Files

● Maintain copies of all **litigation-related correspondence or formal investigations**, including:

- Attorney communications or legal filings.
  - **EH&S, UPD, HR, or personnel department reports.**
    - If your records do not contain copies of certain documents but they are known to exist, clearly **note the Campus** (e.g., “Provided to Sedgwick on [date]” or “Retained by HR”).
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### ● 4. Additional Required Records

Maintain the following documents as applicable to each claim:

- **SAR (Settlement Authority Request) forms**
  - **Wage Statements and Payroll Records**
  - **ADA Accommodation Determinations**
  - **Return-to-Work (RTW) or Transitional RTW (TRTW) Documentation**
  - **Emails and Written Correspondence** related to claim handling
  - **Claim Review Summaries and Status Updates** from Sedgwick or Consultant
  - **Phone Call Summaries** — for significant discussions or claim decisions
  - **Case Direction or Decision Notes** — including next steps, approvals, or escalation actions
- 

### ■ Quick Reference Summary

- Keep all claim records secure and confidential.
- Maintain a complete claim file with all reports, statements, and forms.
- Record when and where external files (e.g., Sedgwick, HR) are stored.
- Update documentation regularly for ongoing claims and litigation.

## 12. IDL/EIDL or TEMPORARY DISABILITY – WCC BENEFITS MANAGEMENT

### ● 1. Disability Leave (IDL) Program Administrative Guide

On 10/29/25 Disability Leave (IDL) Program Administrative Guide has been updated to include clarifying language regarding Enhanced Industrial Disability Insurance (EIDL)

*The Industrial Disability Leave (IDL) Program Administrative Guide has been updated to include clarifying language regarding Enhanced Industrial Disability Insurance (EIDL). It has also been updated to include gender neutral pronouns.*

*To view this Technical Letter, please click on the following links: [TL-BEN2025-10](#) & [TL-LVS2025-01](#).*

*This technical letter can also be found on the CSYou Coded Memoranda site and is attached to this email for you and anyone that administer leaves to review: <https://csyou.calstate.edu/Policies/HRPolicies/Forms/Default.aspx>*

*Questions regarding this technical letter may be brought up during the November 4th AWF Disability Leave group meeting or emailed in advance to [BenefitsInsider@calstate.edu](mailto:BenefitsInsider@calstate.edu) before the November 4th meeting.*

## **● 2. Temporary Disability/Temporary Partial Disability Program Administrative Guide**

Temporary Disability Benefits to be paid, delayed or denied will be determined by **Sedgwick**.

Temporary Disability payable will be sent to **WC Coordinator** by Verification of Disability (VOD) Form specifying the weekly rate of pay and exact dates benefits are payable to employee/injured workers.

**Sedgwick** will issue all Temporary Disability benefits payable to an employee/injured worker.

**Sedgwick** will send updates or any changes in eligibility for temporary disability benefits by VOD to **WC Coordinator**.

**WC Coordinator** will document their records of all disability updates.

**WC Coordinator** will send all VOD notices to appropriate payroll representatives and communicate/coordinate any employment related benefit updates with employee/injured worker and payroll or HR representatives.

**WC Coordinator** will communicate any concerns or questions regarding benefits to Sedgwick Examiner for review and response.

## **13. LITIGATION MANAGEMENT / SAR (SETTLEMENT AUTHORITY REQUEST)**

### **■ Purpose:**

To define the procedures, communication protocols, and responsibilities for managing litigation and Settlement Authority Requests (SAR) in coordination with Sedgwick, CSU Campus Coordinators, and the Office of General Counsel (OGC).

## ● 1. Defense Counsel Coordination

- Sedgwick must use the approved CSU panel of defense counsel for all litigated cases.
  - The WCC selects and approves defense counsel for each claim.
  - Manager/Supervisor approval is required before any referral.
  - Sedgwick Examiners may recommend defense counsel based on litigation referral criteria; however, referrals are made only at the request of the WCC.
  - All defense counsel must adhere to Sedgwick's Defense Panel requirements.
- 

## ● 2. Defense Counsel Communication and Reporting

- Defense attorney status updates, recommendations, and reports must be sent to the Sedgwick Examiner and the WCC (unless otherwise advised) for each file.
  - Any exceptions to direct reporting must be authorized in writing by WCC with Sedgwick knowledge.
  - Defense counsel may contact WCCs or CSU employee/injured workers **only with prior notification and consent from the Sedgwick representative**, who will coordinate such communication with the local campus.
  - The Sedgwick Examiner and WCC jointly determine who should attend hearings or legal proceedings.
- 

## ● 3. Legal Action and Trial Coordination

- If legal action other than subrogation (see *Subrogation Section*) must be filed in any court other than the Workers' Compensation Appeals Board (WCAB) on behalf of CSU, Sedgwick must first obtain approval from the **Office of General Counsel (OGC)**.
  - Trials should only proceed following the determination by the Sedgwick Examiner and/or Defense Attorney that a WCAB trial is the most effective path to resolution.
  - Pre-trial collaboration is required among the Sedgwick Examiner, Defense Attorney, WCC, Supervisor, Claims Manager, and Excess Carrier.
  - This collaboration should occur **before** filing a Declaration of Readiness (DOR) on behalf of CSU or immediately upon receipt of a DOR filed by opposing counsel.
  - If claim exposure exceeds **\$100,000**, is complex, or was denied on a factual or legal basis, the **WC Claims Consultant** must be notified immediately.
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## ● 4. Settlement Authority Request (SAR) Procedures

- A **Settlement Authority Request (SAR)** must be submitted to CSU within **30 days** of receiving the Permanent and Stationary (P&S) medical report.
- If a SAR cannot be completed within the required timeframe, the reason for delay must be documented in the claim notes, and a corrective action plan must be developed.
- SARs must be presented to CSU **30 days before** the defense attorney files a DOR.
- If the applicant's attorney files a DOR for settlement purposes, the SAR must be submitted within **5 days** of receipt of that notice.

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## ● 5. Settlement Authority and Approval Levels

- CSU/AORMA retains **full settlement authority** on all claims.
  - Settlement authority within CSU/AORMA retention must be reviewed for response by the WC Coordinator who will coordinate for Campus/AORMA signature of authority requirements, and if needed with any request for consultation with the WC Consultant and/or Chancellor's Office if needed or appropriate.
  - Each **Campus President** has authority for up to **\$175,000 aggregate** in claim settlements.
  - Each **AORMA claim** for Settlement up to **\$50,000 aggregate** in claim settlements and all request exceeding will require **AORMA COMMITTEE** review and approval.
  - Authority levels may be delegated to specific individuals as determined by the Campus President.
  - All SARs exceeding **\$100,000** require review and response by the **WC Claims Consultant** prior to approval.
  - All SARs exceeding **\$175,000** require review and response by the **Chancellors office** prior to approval.
- 

## ■ Quick Reference Summary

- **Counsel Use:** Only approved CSU defense counsel may be used.
- **Communication:** All defense counsel communications route through Sedgwick; no direct contact with CSU staff without authorization from Sedgwick.
- **SAR Timeline:** Submit SARs within 30 days of P&S (10 days for PRISM cases).
- **Approvals:** Legal filings outside WCAB require OGC approval.
- **Settlement Authority:** CSU retains authority; review required for settlements exceeding \$100,000 by WC Consultant and \$175,000 by Chancellor and WC Consultant.

## 14. COMMUNICATION / RESPONSIBILITIES – WCC DESK LEVEL DUTIES

### ■ Purpose:

To outline the key duties, communication expectations, and claim management responsibilities of the **Workers' Compensation Coordinator (WCC)** in maintaining compliance, coordination, and accuracy across all campus-related WC activities.

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## ● 1. Core Role and Responsibilities

- The WCC serves as the **primary contact** for all **Workers' Compensation (WC) claim exposure** and related matters.
- Manages the **full lifecycle of WC information**, from claim reporting through

resolution.

- Ensures that all required claim documents, notifications, and updates are submitted **promptly and accurately to Sedgwick.**
- 

## ● 2. Reporting and Communication with Sedgwick.

- **Report new claims** and provide all supporting documents within the required timeframe.
  - Maintain **incident-only reports** when applicable and forward to Sedgwick if later medical treatment occurs. (review your internal Campus procedures)
  - Receive and distribute information from **Sedgwick** to appropriate campus contacts.
  - Communicate **Return-to-Work (RTW)** decisions, restrictions, and updates directly to Sedgwick.
  - Coordinate **SAR (Settlement Authority Request)** reviews and responses between Sedgwick and Campus.
  - Manage ongoing **litigation case updates** with Sedgwick and campus leadership.
- 

## ● 3. Recordkeeping and File Management

- Maintain an organized and secure **WCC desk file** for all WC claims, including claim documentation, communications, and updates.
  - Document all key discussions, phone calls, and claim direction decisions.
  - Retain **Payroll notifications** related to **Verification of Disability (VOD)** reports and coordinate with Sedgwick, and payroll staff.
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## ● 4. Collaboration and Coordination

- Participate in **conference calls or virtual meetings** with campus, Sedgwick, consultant, and other relevant parties.
  - Facilitate/participate in **claim review meetings** and coordinate follow-up actions.
  - Support departments in obtaining and sharing injury-related information as needed.
  - Maintain **open communication with Employee/injured workers, Departments, EH&S, Risk Management, HR, and Payroll** for claim coordination and updates.
  - Collaborate on **ADA accommodation requests and RTW planning/determinations., and IDL/Benefit choice decisions.**
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## ● 5. Monitoring and Reporting

- Track and manage **Scorecards, monthly claim reports, Quarterly AORMA reports**, and data from Sedgwick or Consultant.
- Maintain regular contact with **EH&S, Risk, and Safety units** to address open items or information requests.

- Coordinate **campus roundtable meetings** (recommended weekly or monthly) with Payroll, EH&S, HR, WC, and Risk Management to review new claims, status changes, and key issues.
  - Coordinate **claim review or conference call requests when needed. Reaching out to WC Consultant and/or Sedgwick**
  - Provide **management and records updates** to authorized personnel who have a secure need-to-know.
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#### **6. Specialized Responsibilities**

- Coordinate with **Medical Industrial Clinics** for treatment authorizations and follow-ups.
  - Review and approve **investigation requests** or assist Sedgwick with information as needed.
  - Facilitate **ergonomic evaluations** by coordinating with appropriate campus departments.
  - Communicate **wage information and related requests** to HR.
  - Handle **Subpoena compliance**, ensuring appropriate personnel manage and respond to records requests. (review your campus procedures)
  - Participate in **Nurse Case Management (NCM)** or **on-campus triage efforts** when authorized or requested by Sedgwick.
  - Participate in **Double Play Meeting attendee**, along with other designated campus participants.
  - Completion and maintenance and reported back to Sedgwick & Campus **OSHA REPORTING LOG**.
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#### **Quick Reference Summary**

-  The WCC is the **main point of contact** for all Workers' Compensation matters.
-  Ensure all claim forms, reports, and communications are accurate and submitted promptly.
-  Keep all documentation secure, organized, and up to date.
-  Maintain strong collaboration with SEDGWICK, HR, Payroll, EH&S, Risk, and ADA teams.
-  Participate in claim reviews, meetings, and reporting for oversight and compliance.

## 15. EMPLOYMENT STATUS CHANGES, TEMPORARY RETURN TO WORK, AND ADA PERMANENT RETURN TO WORK

### ● 1. Employment Status Notification of Need

- Within **five (5) days** of receiving a notice of resignation/termination/retirement of an employee, the WCC will notify the **Sedgwick Examiner** of the employment status change.
  - a. Why? Benefits for additional temporary disability or permanent disability may be due.
  - b. Benefit determination must be issued by **Sedgwick Examiner** within 14 days of knowledge of change of employment status.
  - c. Sedgwick Examiner must review to issue benefit notices and possible indemnity benefits payable within 14 days of knowledge of change of employment status.
  - d. Failure to make a determination if additional indemnity benefits are payable within 14 days could subject the claim file to penalties payable to the employee/claimant and that penalty fault could be charged against the **Campus or Auxiliary Division**.
  - e. **Campus or Auxiliary Division** should review your campus process and procedure and determine if you have access to employment status information real time or determine who will notify the **WCC** of the employment status changes for your **OPEN** workers compensation claims within 5 days of change.
  - f. **WCC** if employment status changes for **closed files** that have resolved by Stipulated Award with Future medical care open or Findings and Award with future medical care open, you can notify **Sedgwick Examiner** to determine with **WCC** if a claim can be reviewed for a resolution of this lifetime future medical award exposure.

### ● 2. Temporary Return to work

- **Sedgwick or Campus or Auxiliary Division** may receive medical doctor work status reports to determine return to work that requires review and final opinion.
  - a. Why? Benefits for temporary disability or temporary disability wage loss may be payable.
  - b. What? Work status medical reports will outline if employee/injured worker can return to full work duties, modified or alternative work hours or modified/alternative physical or medical restricted duties and what those restrictions are in detail.
  - c. Who? The work status medical reports will come from medical providers, employee, department/supervisor, attorney or Sedgwick.

- d. **WCC** will/must receive these work status reports and will coordinate with each department or division on **Campus or Auxiliary** for final return to work decision.
- e. **WCC** will/must notify payroll upon receipt of any Verification of Disability forms from Sedgwick
- f. **WCC** will notify **Sedgwick Examiner** with final return to work determination.
- g. **Sedgwick Examiner** must issue a **benefit notice within 14 days** of knowledge of change of temporary return to work decision.
- h. Temporary work status return to work may/will change at future medical examination and any change will require and repeat this process above.
- i. **Sedgwick Examiner** will assist in any interpretation or questions of the work status details. If clarification is needed please contact your **Sedgwick Examiner**.

### ● 3. Permanent/MMI (Maximum Medical Improvement ) or Discharge Medical Report for Return to work

- **Sedgwick or Campus or Auxiliary Division** will receive a Discharge medical report also known as MMI medical report work status reports to determine return to work that requires review and final opinion.
  - a. Why? Benefits for temporary disability or temporary disability wage loss may end and or Permanent Disability may be payable **within 14 days** of receipt of this MMI final medical report.
  - b. What? MMI medical reports will outline if employee/injured worker can return to full usual and customary occupation and/or require permanent physical/medical restrictions, modified or alternative accommodation for CSU and most likely ADA to evaluation and interactive process to determine the ability to accommodate a return to for the employee/injured worker.
  - c. Who? The medical restrictions can come from the PTP and/or Med legal evaluator to Sedgwick and/or CSU **Campus or Auxiliary Division**.
  - d. **WCC** will/must receive this notice from **Sedgwick** requesting if **Campus or Auxiliary** can or cannot accommodate permanent return to work decision.
  - e. **WCC** will notify ADA desk and departments to evaluate and request interactive process determination and once completed **WCC** will **Sedgwick Examiner** with final return to work determination.
  - f. **Sedgwick Examiner** must issue a **benefit notice within 14 days** of receipt of this MMI final medical report.
  - g. Sedgwick will manage response from **WCC** over the course of 60 days. A Final decision must be received from Campus or Auxiliary Division within 60 days of receipt of medical report. If a decision is made Sedgwick will send appropriate permanent return to work notifications or issue a Voucher because no decision within 60 days or no permanent accommodation is available to the employee.

- h. **Sedgwick Examiner** will assist in any interpretation or questions of the medical report and modified or alternative work restrictions details. If clarification is needed please contact your **Sedgwick Examiner**.
- i. **Sedgwick** will/must issue Verification of Disability (VOD) notice for any change or payment eligibility determinations and **WCC** will submit notify to Payroll.

### Quick Reference Summary

-  The **WCC** is the **main point of contact** for all Workers' Compensation matters return to work coordination requests.
-  Ensure all document work restrictions and medical report details are provided to HR, ADA, Departments for determination of Return to work.
-  Keep all documentation secure, organized, with follow up diary for timely response with **Sedgwick** and up to date .
-  **WCC** maintain strong collaboration with SEDGWICK, DEPT, HR, Payroll, EH&S, Risk, and ADA teams.
-  **WCC** participate request when necessary, claim reviews, meetings, and reporting for oversight and compliance.

## 16. IDEAS' FOR MORE SECTIONS TO BE ADDED – PLEASE EMAIL YOUR IDEA'S WCC'S