

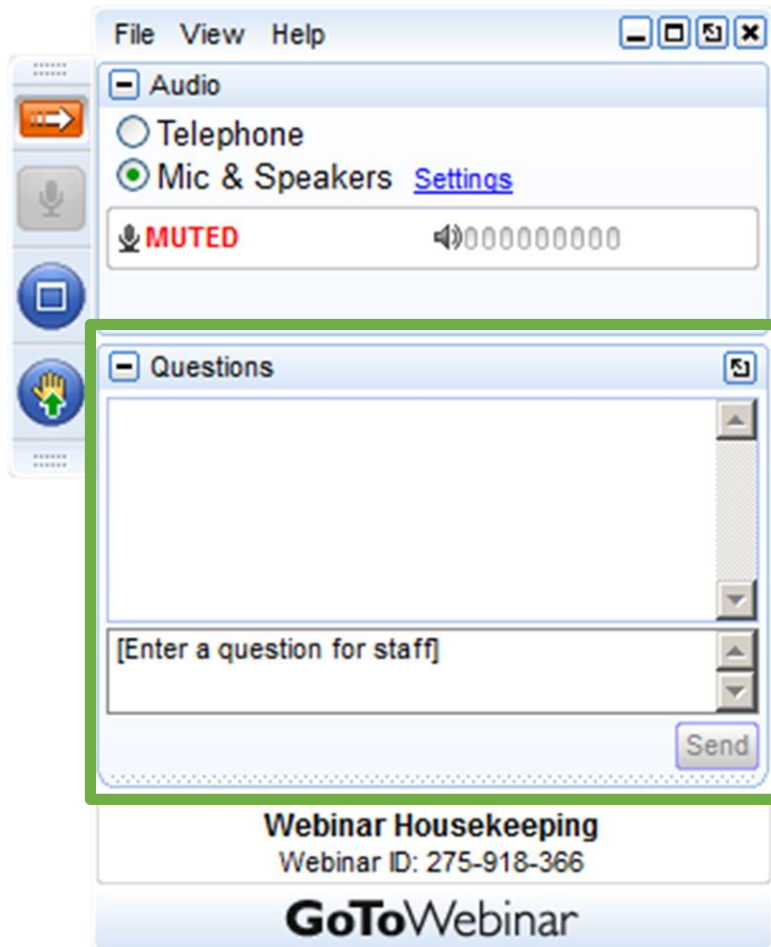
Indemnity Data Call Submissions & Certification Testing

March 25, 2020

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The Webinar Will Begin Shortly

Questions & Answers



Asking a Question

You may submit questions using the **Questions** panel. Time permitting we may be able to answer your question during the webinar otherwise, we will respond offline.

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01 Data to be Collected

Data to be Collected

- Based on reporting requirements and record structure for FROI and SROI records reported to California’s WCIS EDI Reporting
- Submitter FEIN information to be present in the file name and header record
- Personally Identifiable Information is to be redacted in the record
 - Zero filled when numeric – SSN & Employee Phone
 - Special character filled when alphanumeric
 - Redacted fields will include:

Rec Type	Rec	DN	Data Element Name
FROI	148	0042	Social Security Number
FROI	148	0043	Employee Last Name
FROI	148	0044	Employee First Name
FROI	148	0045	Employee Middle Initial
FROI	148	0046	Employee Address Line 1
FROI	148	0047	Employee Address Line 2
FROI	148	0049	Employee State
FROI	148	0051	Employee Phone
SROI	A49	0042	Social Security Number

Reporting Frequency and Duration

- Based on when data is reported to WCIS
- Insurer groups may report data to the WCIRB on either a daily, weekly or monthly basis
- Transactions occurring during a quarter are due to the WCIRB no later than the end of the subsequent quarter
- Indemnity Data Transactions are required to be reported until claims are 'Closed' (DN73) with 'Final' (DN002) status.



02 Indemnity Data Call Certification Plan

Certification Testing

- Each Insurer Group must complete a certification process in order to be ready to submit Indemnity Data
- Insurer Groups must complete Form 104-Indemnity Data Call Submission Enrollment and contract before beginning testing
- Transactions are to be submitted electronically to the WCIRB via secure transfer to the WCIRB's Secure File Transfer Protocol (SFTP) server as a flat file
- If the Insurer is using multiple submitters, the certification process must include each submitter
- Certification must be completed for Production Data Submission within one year of the date when the eligibility notification was received

Data from Third Party Entities

- Third party partners such as TPAs or WCIS Trading Partners may submit data on behalf of an Insurer Group
- Insurers must submit Form 104 – Page 4 for each designated submitter
- The Insurer Group remains responsible for the data reporting obligation and for the quality of the data



Data to be Submitted

- The test data should include all data submitted to WCIS between 9/1/2019 and 9/30/2019 for all submitters (September 2019 data)
- Test data can be submitted once or in cycles



Completeness, Reasonableness and Quality Checks

- Completeness:
 - Aggregate Financial Claim Count Comparison
 - FROI Claim Administrator Claim Number to Medical Data Claim Matching
 - FROI Policy Information to WCIRB Policy Data Comparison
 - SROI Claim Administrator Claim Number to Unit Statistical Report Claim Number matching
- Quality Checks
 - FROI & SROI Profiling for descriptive statistics, extreme values/outliers, high and low values for each field
 - SROI Paid PD Claims & PD % Reported
 - SROI Temporary Total Claims and Benefit Rate

Completeness, Reasonableness and Quality Checks

Continued

- Reasonableness Checks
 - Distribution of SROI Benefit Codes
 - Distribution of FROI & SROI Injury Dates
 - Distribution of FROI & SROI Maintenance Type Codes Dates
 - Distribution of FROI & SROI Maintenance Type Codes
 - Distribution of SROI Claim Types
 - Reported Wages



03 Submission via SFTP

SFTP Server Access

- SFTP address, user name and passwords will be given to the submitter contact specified in Form 104
- Box.com encrypted service will be used to transfer the credentials
- Access to the Box.com location will automatically be deleted after a week
- SFTP user name or password cannot be changed on submitter's end



SFTP Folder Structure

- Each submitter will only have one SFTP location, user name and password
- A subfolder will be added for each Insurer group
- The Certification folder will be visible through Certification Testing
- The Production folder will be added when the Insurer Group is certified for Production Data Submission



04 File Processing Overview

File Naming Convention

- The WCIRB uses the same file naming convention as specified in the current version of the Workers' Compensation Information System (WCIS) California EDI Implementation Guide for First and Subsequent Reports of Injury (FROI/SROI) except that the WCIRB requires the Submitter FEIN in place of Trading Partner's Sender FEIN.
- Refer to the [Indemnity Data Call Guide](#) Page 6 for the naming convention.

The naming convention is as follows:

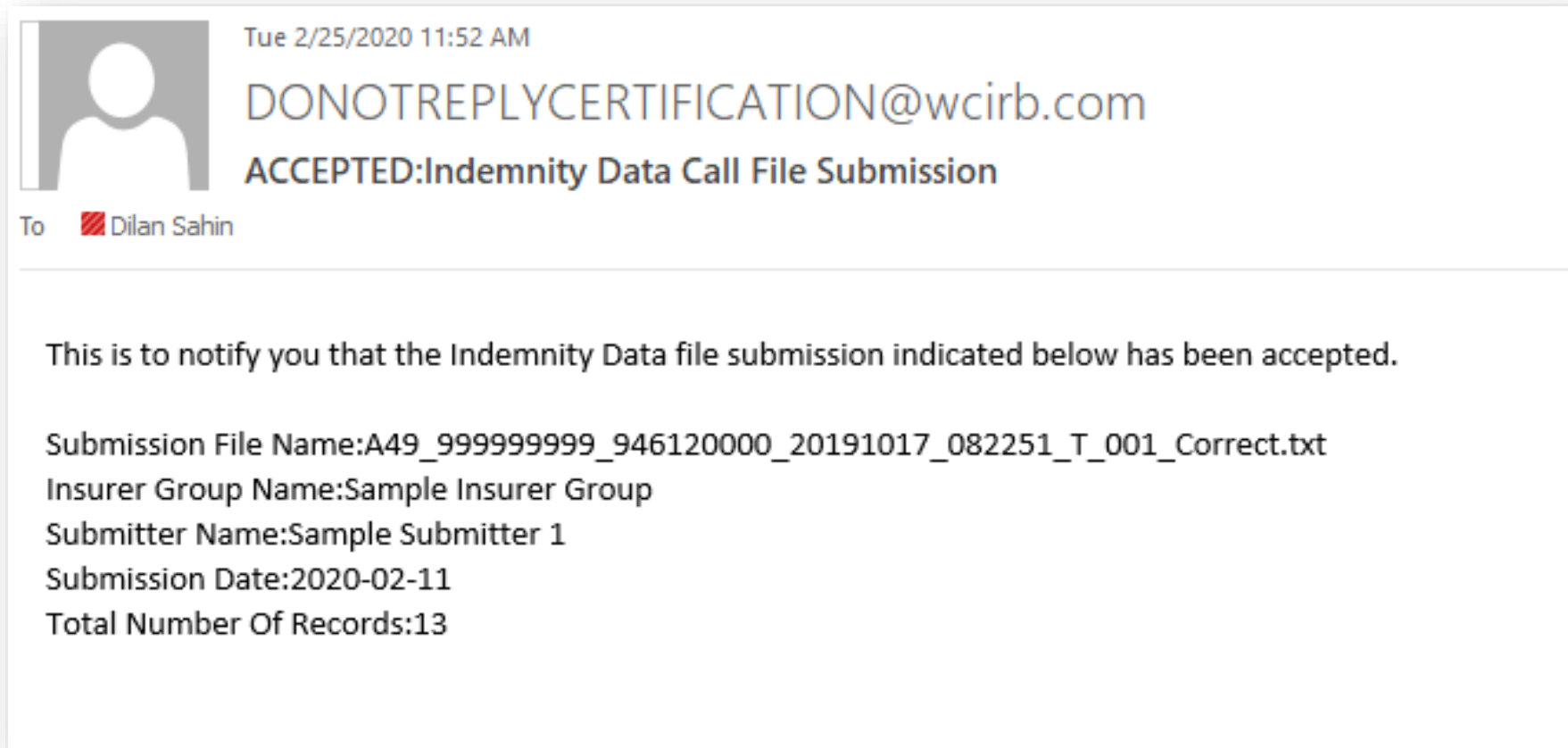
- Files must start with the three character file type, 148 or A49, followed by an underscore "_."
- The 5th through 13th characters are the **Submitter** FEIN followed by an underscore "_."
- The 15th through 23rd characters are the Submitter's 9 digit zip code followed by an underscore "_."
- The 25th through 32nd characters are the Date Stamp of the 148 or A49 file (8-digit date, CCYYMMDD) followed by an underscore "_."
- The 34th through 39th characters are the Time Stamp of the 148 or A49 file (6-digit time, HHMMSS) followed by an underscore "_."
- The 41st character is the test/ production indicator: a "T" for Test or a "P" for Production followed by an underscore.
- The 43rd through 45th character are a unique 3 digit counter (001-999) for 148 and A49 files. Submitters can append up to 10 digit character starting from 46th character followed by an underscore for 148 and A49 files.
- All files will be named with a .txt extension. Files with any other file extensions will not be processed.

Edit Processing

- File Acceptance Edits
 - Proper permissions to transmit data
 - File formatting is correct and data can be consumed
 - Data elements are properly redacted
- File Processing Edits
 - Validity of data reported
 - Records that cannot be consumed will be monitored for the next 60 days to determine if WCIS editing practices caused the record to be corrected and resubmitted
- Refer to the [Data Edit Matrix](#) on the Indemnity Data Call website for File Acceptance and File Processing Edits

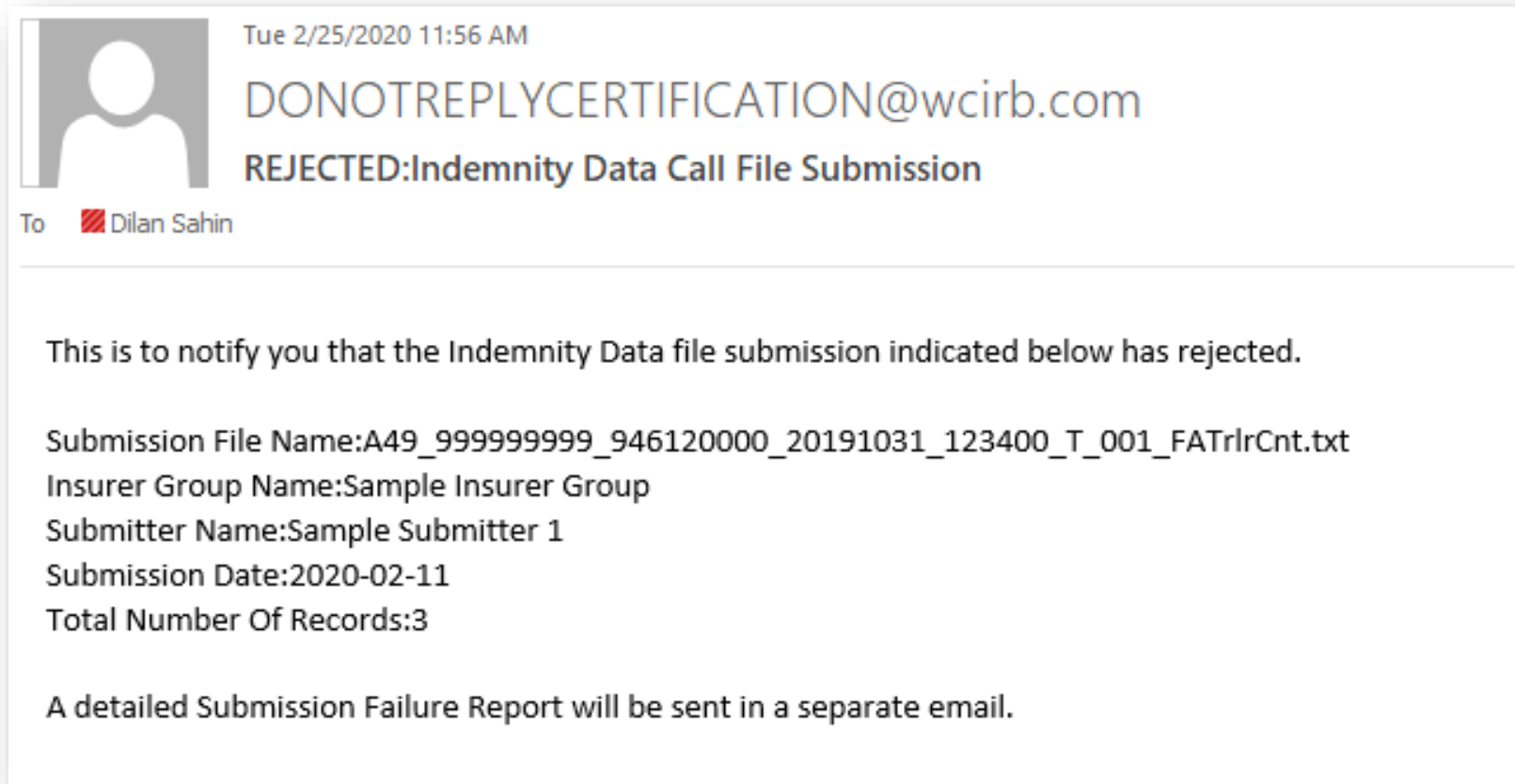
Automated Communications from Indemnity Data System

- File Acceptance Email



Automated Communications from Indemnity Data System

- File Rejection Email



Reports from the Indemnity Data System

1. File Rejection Detail Report
2. Monthly File Processing and Rejected Record Summary (PDF)
3. Monthly Rejected Records Detail Report (Excel)



File Rejection Detail Report

Indemnity Transaction Data					
Rejected File Detail Report					
Insurer Group:		Sample Insurer Group			
Submitter(s):		Sample Submitter 1			
Submission Date:		Feb 19, 2020			
To learn more about the terms used in the WCIRB Indemnity Data Call Rejected File Detail Report, see the explanatory notes here:					
Indemnity Transaction Data Reporting					
To learn more about edit reasons and the descriptions of edit numbers, see the matrix here:					
Indemnity Data Call Edit Matrix					
File Name	File Type	Line #	Edit Number(s)	Claim Administrator Claim Number	Agency Claim Number
148_999999999_946100000_20191207_101636_T_001_wxcfhhy45.txt	FROI	1	IND0001_10, IND0001_13,		
148-111111111_946120000_20191004_081557_T_001_FAFNAME.txt	FROI	0	IND0001_2		
A49_111111111_946120000_20191030_081736_T_001_FAPII.txt	SROI	7	SR0042_1		
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Edit Matrix – File Acceptance

Edit #	Database	DN	Data Field	Edit Message	MTC	Stage of Editing	Outcome
IND0001_1	FROI & SROI	N/A	File Name	File name is not unique and/or contain spaces.	N/A	File Acceptance	Reject File
IND0001_2	FROI & SROI	N/A	File Name	File name does not start with 148, A49 or is not followed by an underscore.	N/A	File Acceptance	Reject File
IND0001_3	FROI & SROI	N/A	File Name	Submitter is not authorized to submit file for the Insurer Group or Submitter FEIN is not followed by an underscore.	N/A	File Acceptance	Reject File
IND0001_4	FROI & SROI	N/A	File Name	Sender's zip code is not numeric or is not followed by an underscore.	N/A	File Acceptance	Reject File
IND0001_5	FROI & SROI	N/A	File Name	Submission Date in file name is invalid or is not followed by an underscore.	N/A	File Acceptance	Reject File
IND0001_6	FROI & SROI	N/A	File Name	Submission Time in file name is not in valid time format or is not followed by an underscore.	N/A	File Acceptance	Reject File
IND0001_7	FROI & SROI	N/A	File Name	Test file is dropped in Production Folder./ Production file is dropped in Test Folder or is not followed by an underscore.	N/A	File Acceptance	Reject File
IND0001_8	FROI & SROI	N/A	File Name	Counter field in File Name is not in numeric format. (001_999)	N/A	File Acceptance	Reject File
IND0001_9	FROI & SROI	N/A	File Name	File is not named with .txt extension.	N/A	File Acceptance	Reject File
IND0001_10	FROI & SROI	N/A	Header	File does not contain a Header Record/the length is incorrect	N/A	File Acceptance	Reject File
IND0001_11	FROI & SROI	N/A	Header	There is more than one Header Record in the file.	N/A	File Acceptance	Reject File
IND0001_13	FROI & SROI	0100	Header	Submission Date in Header Record is invalid.	N/A	File Acceptance	Reject File
IND0001_14	FROI & SROI	N/A	Trailer	Record Total is invalid and does not match the number of records in the file or file does not contain a trailer record.	N/A	File Acceptance	Reject File
IND0001_15	FROI & SROI	0100	Header	Submitter is not authorized to submit files for that file submission date.	N/A	File Acceptance	Reject File
IND0001_16	FROI & SROI	N/A	Trailer	There is more than one Trailer Record in the file.	N/A	File Acceptance	Reject File
IND0001_17	FROI & SROI	N/A	Transaction	There is an empty line in the file.	N/A	File Acceptance	Reject File
SR0006_1	SROI	0006	Insurer FEIN	Insurer FEIN is not the found in the reference list.	All	File Acceptance	Reject File
SR0042_1	SROI	0042	Social Security Number	Employee SSN is not redacted/zero filled.	All	File Acceptance	Reject File

Monthly File Processing and Rejected Record Summary (PDF)

Indemnity Transaction Data

Indemnity Data Call Certification Submission Summary February 2020

Submission Period: 10/20/2019 - 12/20/2019

Report Run Date: 02/20/2020

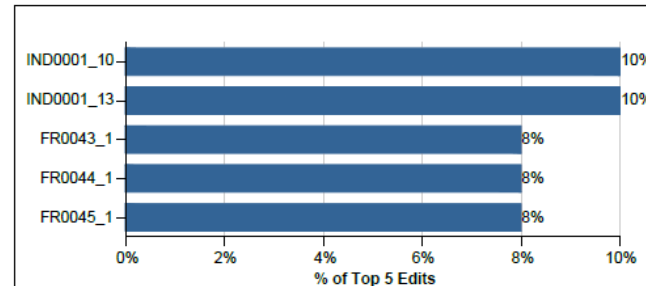
Insurer Group: Sample Insurer Group

Submitter(s): Sample Submitter

SUBMITTER(S):

File Acceptance Summary (Files)						File Processing Summary (Transactions)						Rejected Transaction Status				
	Processed		Rejected		Total		Processed		Rejected		Total		Repaired		Not Repaired	
	Files	%	Files	%	Files		Transactions	%	Transactions	%	Transactions		Transactions	%	Transactions	%
FROI	12	57.14%	9	42.86%	21	FROI	451	93.96%	29	6.04%	480	FROI	0	0%	29	100.00%
SROI	6	60.00%	4	40.00%	10	SROI	137	88.96%	17	11.04%	154	SROI	7	41.2%	10	58.82%
Total	18	58.06%	13	41.94%	31	Total	588	92.74%	46	7.26%	634	Total	7	15.22%	39	84.78%

File Acceptance: Top 5 Edit Resulting in File Rejection



Rule Code Descriptions

IND0001_10 - File does not contain a Header Record / the length is incorrect

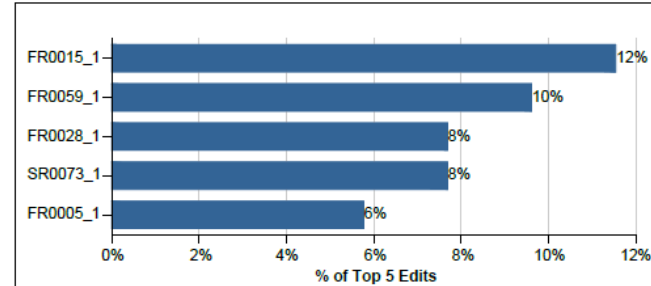
IND0001_13 - Submission Date in Header Record is invalid.

FR0043_1 - Employee Last Name is not redacted/ special character filled.

FR0044_1 - Employee First Name is not redacted/ special character filled.

FR0045_1 - Employee Middle Initial is not redacted/ special character filled.

File Processing: Top 5 Edit Resulting in Transaction Rejection



Rule Code Descriptions

FR0015_1 - Claim Administrator Claim Number is missing.

FR0059_1 - Class Code is missing or not a valid WCIRB class code.

FR0028_1 - Policy Number is missing.

SR0073_1 - Claim Status is not Closed (C) or Re-Open/Closed (X).

FR0005_1 - Agency Claim Number is Missing.

Monthly Rejected Records Detail Report (Excel)

Indemnity Transaction Data

Indemnity Data Call Rejected Records Report for Certification



Submission Period:	10/20/2019 - 12/20/2019		
Report Run Date:	02/20/2020		
Insurer Group:	Sample Insurer Group 1		
Submitter(s):	Sample Submitter 1, Sample Sample Submitter 2		

Submitter	Insurer Group	Submitted Date	File Type	Stage of Editing	Claim Administration Claim Number	Agency Claim Number	File Name	Line #	Edit Number(s)
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999	999999999999999	148_111111111_999900000_20191018_101636_T_001_ClsDOBDOl.txt	80	FR0059_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999	999999999999999	148_111111111_999900000_20191018_101636_T_001_ClsDOBDOl.txt	83	FR0059_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999	999999999999999	148_111111111_999900000_20191018_101636_T_001_ClsDOBDOl.txt	108	FR0031_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999	999999999999999	148_111111111_999900000_20191018_101636_T_001_ClsDOBDOl.txt	109	FR0031_2
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999	999999999999999	148_111111111_999900000_20191018_101636_T_001_ClsDOBDOl.txt	137	FR0052_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999	999999999999999	148_111111111_999900000_20191018_101636_T_001_ClsDOBDOl.txt	138	FR0052_2
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing		999999999999999	148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	2	FR0015_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999		148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	3	FR0003_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999		148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	4	FR0003_2
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999		148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	5	FR0002_1, FR0005_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing			148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	24	FR0015_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999	999999999999999	148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	26	FR0028_1, FR0029_1, FR0030_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999		148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	37	FR0028_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999		148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	40	FR0005_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	FROI	File Processing	999999999		148_111111111_999900000_20191021_175312_T_001_MTCCLMPOL.txt	43	FR0059_1
Sample Submitter 1	Sample Insurer Group 1	02/19/2020	FROI	File Processing			148_111111111_999900000_20191206_005228_T_001_CNoMiss.txt	2	FR0015_1
Sample Submitter 1	Sample Insurer Group 1	02/19/2020	FROI	File Processing			148_111111111_999900000_20191206_005228_T_001_CNoMiss.txt	3	FR0015_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	SROI	File Processing	999999999	999999999999999	A49_111111111_999900000_20191018_081838_T_001_MTCACN.txt	2	SR0002_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	SROI	File Processing	999999999	999999999999999	A49_111111111_999900000_20191018_081838_T_001_MTCACN.txt	3	SR0003_1
Sample Submitter 1	Sample Insurer Group 1	02/11/2020	SROI	File Processing	999999999	999999999999999	A49_111111111_999900000_20191018_081838_T_001_MTCACN.txt	4	SR0003_2

Edit Matrix – File Processing

Edit #	Database	DN	Data Field	Edit Message	MTC	Stage of Editing	Outcome
FR0002_1	FROI	0002	Maintenance Type Code	Maintenance Type Code is missing or not valid.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0003_1	FROI	0003	Maintenance Type Code Date	Maintenance Type Code Date is missing, or invalid.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0003_2	FROI	0003	Maintenance Type Code Date	Maintenance Type Code Date is greater than Transmission Submission Date.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0005_1	FROI	0005	Agency Claim Number	Agency Claim Number is missing.	All except 00	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0015_1	FROI	0015	Claim Administrator Claim Number	Claim Administrator Claim Number is missing.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0028_1	FROI	0028	Policy Number	Policy Number is missing.	00,02,CO	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0029_1	FROI	0029	Policy Effective Date	Policy Effective Date is missing.	00,02,CO	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0030_1	FROI	0030	Policy Expiration Date	Policy Expiration Date is missing.	00,02,CO	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0031_1	FROI	0031	Date of Injury	Date of Injury is missing or invalid.	00,02,04,CO	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0031_2	FROI	0031	Date of Injury	Date of Injury is greater than Maintenance Type Code Date.	00,02,04,CO	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0052_1	FROI	0052	Employee Date of Birth	Employee Date of Birth is missing or invalid.	00,02,04,CO	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0052_2	FROI	0052	Employee Date of Birth	Employee Date of Birth is greater than DOI or MTC Date.	00,02,04,CO	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
FR0059_1	FROI	0059	Class Code	Class Code is missing or not valid WCIRB class codes.	00,02,CO,AU	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
SR0002_1	SROI	0002	Maintenance Type Code	Maintenance Type Code is missing or invalid.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
SR0003_1	SROI	0003	Maintenance Type Code Date	Maintenance Type Code Date is missing or invalid.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
SR0003_2	SROI	0003	Maintenance Type Code Date	Maintenance Type Code Date is greater than Transmission Submission Date.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
SR0005_1	SROI	0005	Agency Claim Number	Agency Claim Number is missing.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
SR0015_1	SROI	0015	Claim Administrator Claim Number	Claim Administrator Claim Number is missing.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
SR0031_1	SROI	0031	Date of Injury	Date of Injury is missing or invalid.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
SR0031_2	SROI	0031	Date of Injury	Date of Injury is greater than Maintenance Type Code Date.	All	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.
SR0073_1	SROI	0073	Claim Status	Claim Status is not Closed (C) or Re-Open/Closed (X).	FN	File Processing	Evaluate if subsequent valid record was submitted within next 60 days; if not, return record.



05 Pilot Testing Key Dates and Timeline

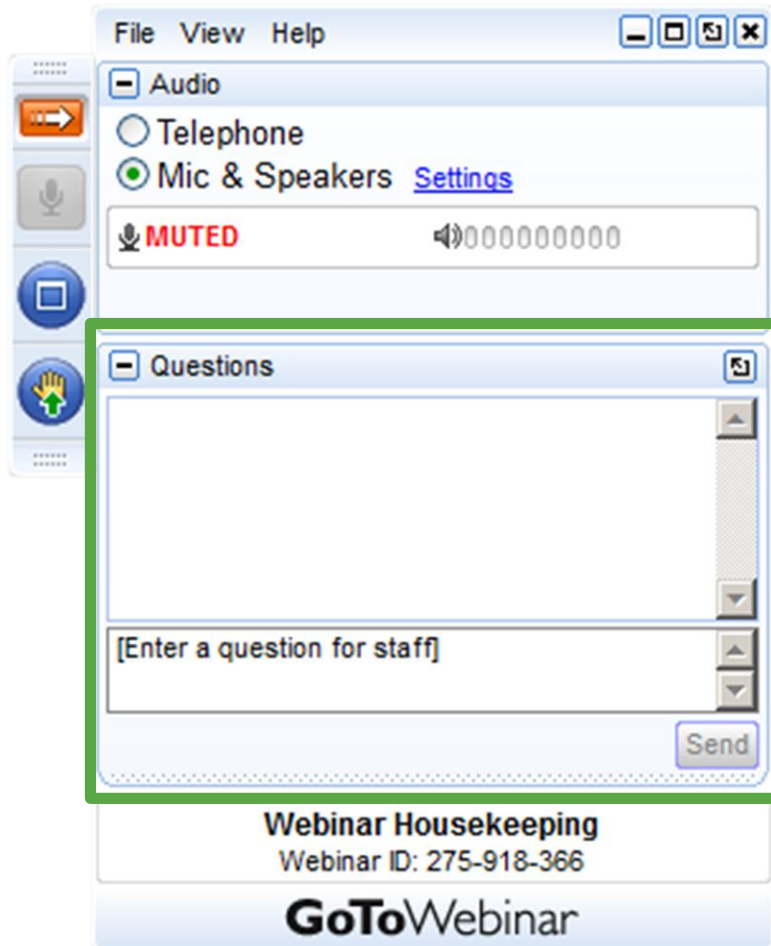
Testing Timeline

1. Testing must be completed for Insurer groups and their data submitters within a year of the date the eligibility notice was sent. For most companies, the due date is 7/26/2020.
2. The WCIRB is ready to accept certification test files.
3. The WCIRB will initiate teleconference calls with Insurer groups and their data reporters in the order the enrollment forms were received.
4. Once Certification Testing is approved, the Insurer Group can submit data right away.



06 Questions

Questions & Answers



Asking a Question

You may submit questions using the **Questions** panel. Time permitting we may be able to answer your question during the webinar otherwise, we will respond offline.



07 WCIRB Resources

WCIRB Resources

For Questions: indemnitydata@wcirb.com



Indemnity Transaction Data
Reporting

Visit [WCIRB.com](https://www.wcirb.com)

Links will be provided in slides made available after this webinar.

- [Indemnity Data Website](#)
- [Indemnity Data Call Guide](#)
- [Indemnity Data Call Edit Matrix](#)
- [FAQ](#)

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