Indemnity Data Collection Tool

User's Guide

2022

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Indemnity Data Collection Overview

Tool Features

Indemnity Data Collection:

- Is a Web-based application
- Enables you to monitor your data reporting performance
- Is a read-only tool; therefore, you cannot make updates to your data via this tool
- Can benefit anyone involved with data reporting (data providers, management, etc.)

Benefits

- ***Indemnity Data Collection*** is a valuable source of information that provides you with a comprehensive view of your data reporting performance
- It enables you to manage your data reporting more efficiently by highlighting areas that may need improvement

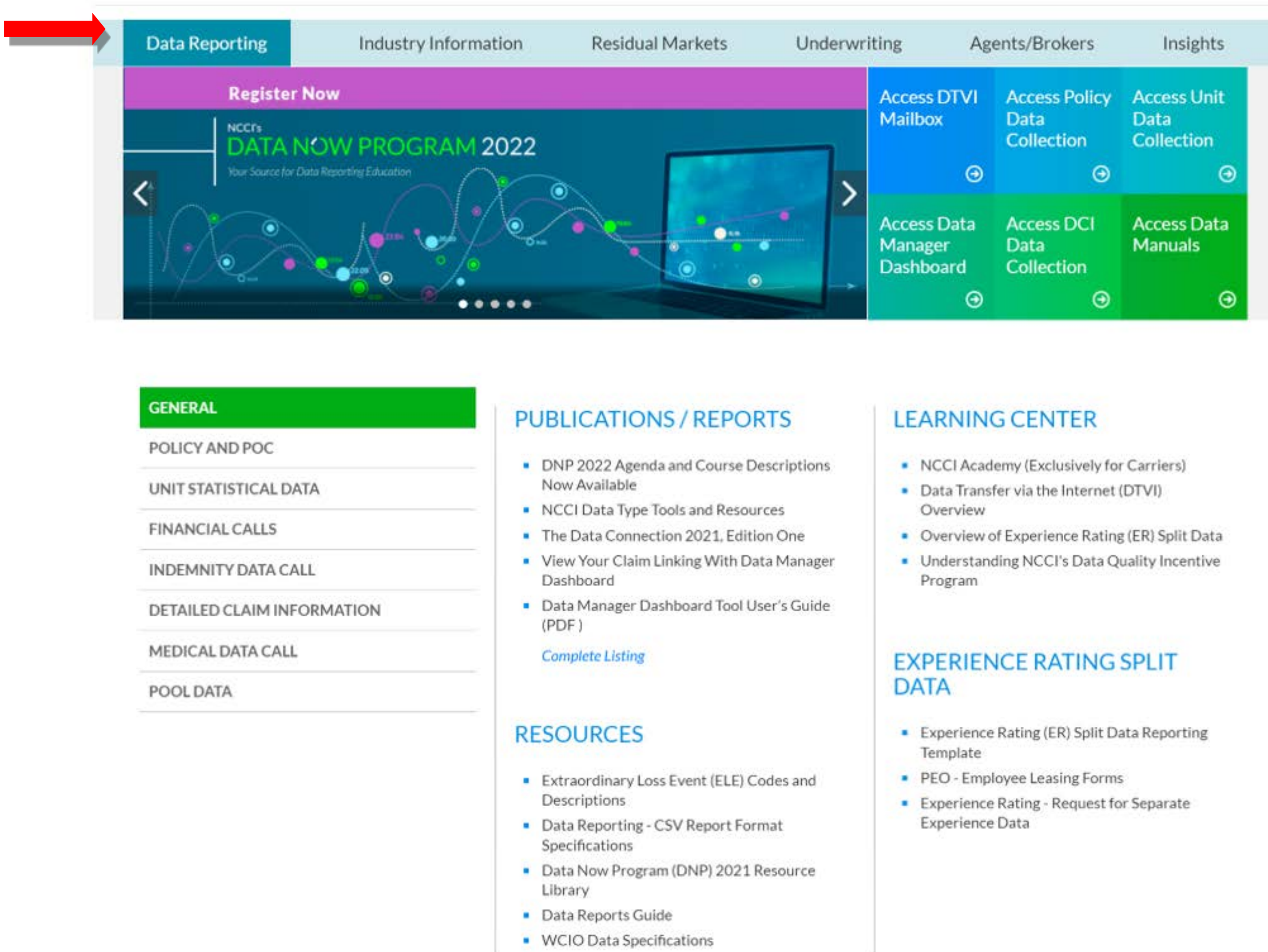
Key Features

- You can view data reporting results on the:
  - Summary Page—displays a quarterly trending of real-time completeness and quality results
  - File Results—helps you track your individual file level submissions using information such as the Received Date, File Name and File Submission Identifier, as well as view the status of each submission—accepted or rejected
  - Submission Reports—displays the detailed quality results from individual Certification, Production, and Key Field Change file submissions
  - Quality Tracking Results—provides aggregated quality results displayed at both the individual data provider level and Group level combined
  - Quarter End Results—displays aggregated quality results at the Group level, in addition to additional completeness and quality observations
  - Key Field Verification—attempts to match key fields to Policy data and Unit Statistical data, where possible, to ensure consistency of key field reporting across data types
- Using the Tools and Information option in the main menu, you can link to features such as the ***Indemnity Data Call Reporting Guidebook***, Learning Center, and Publications/Reports directly related to the Indemnity Call

Logging In

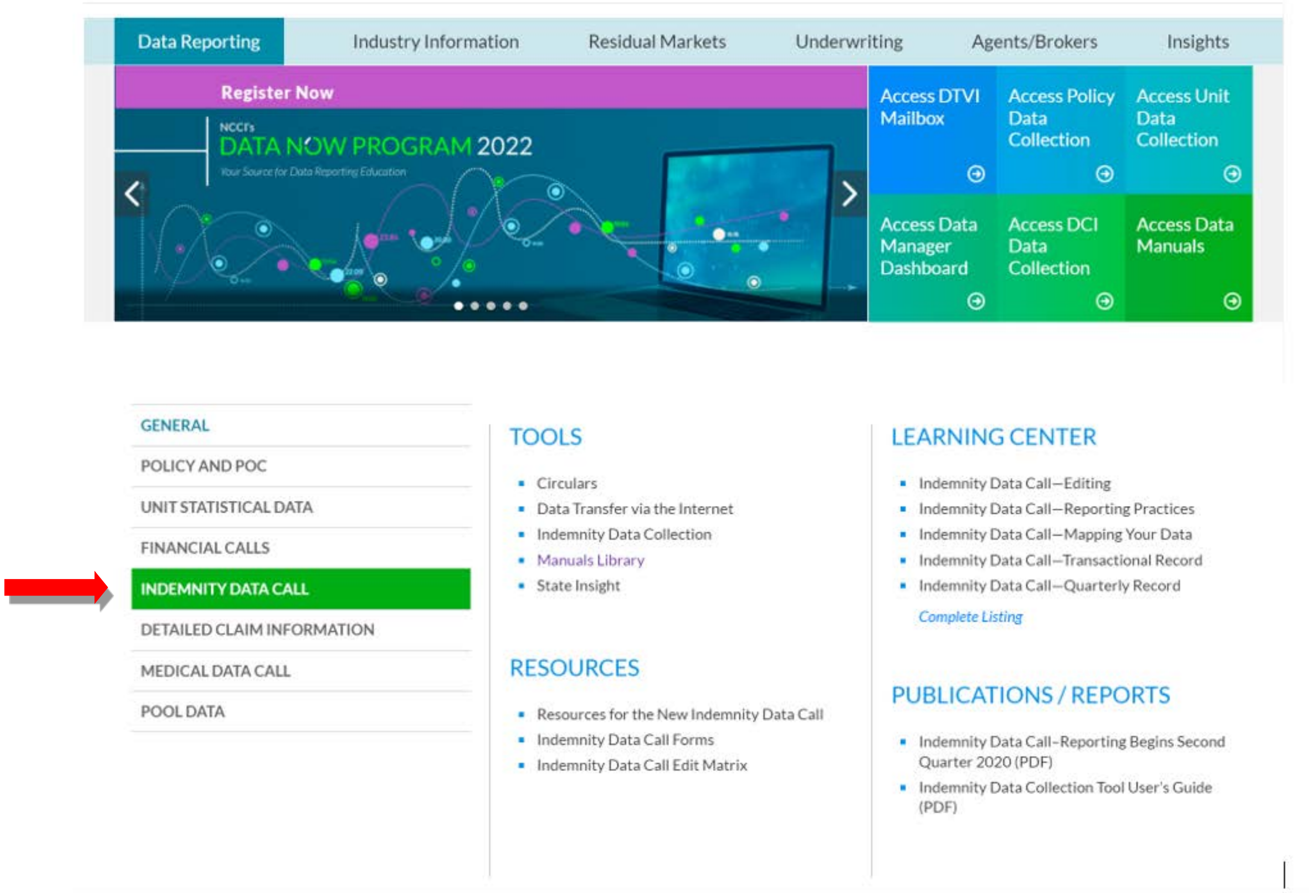
To receive access to ***Indemnity Data Collection***, contact NCCI's Customer Service Center at 800-**NCCI**-123 (800-622-4123).

- ❑ Go to **ncci.com**
- ❑ Click the **Data Reporting** link

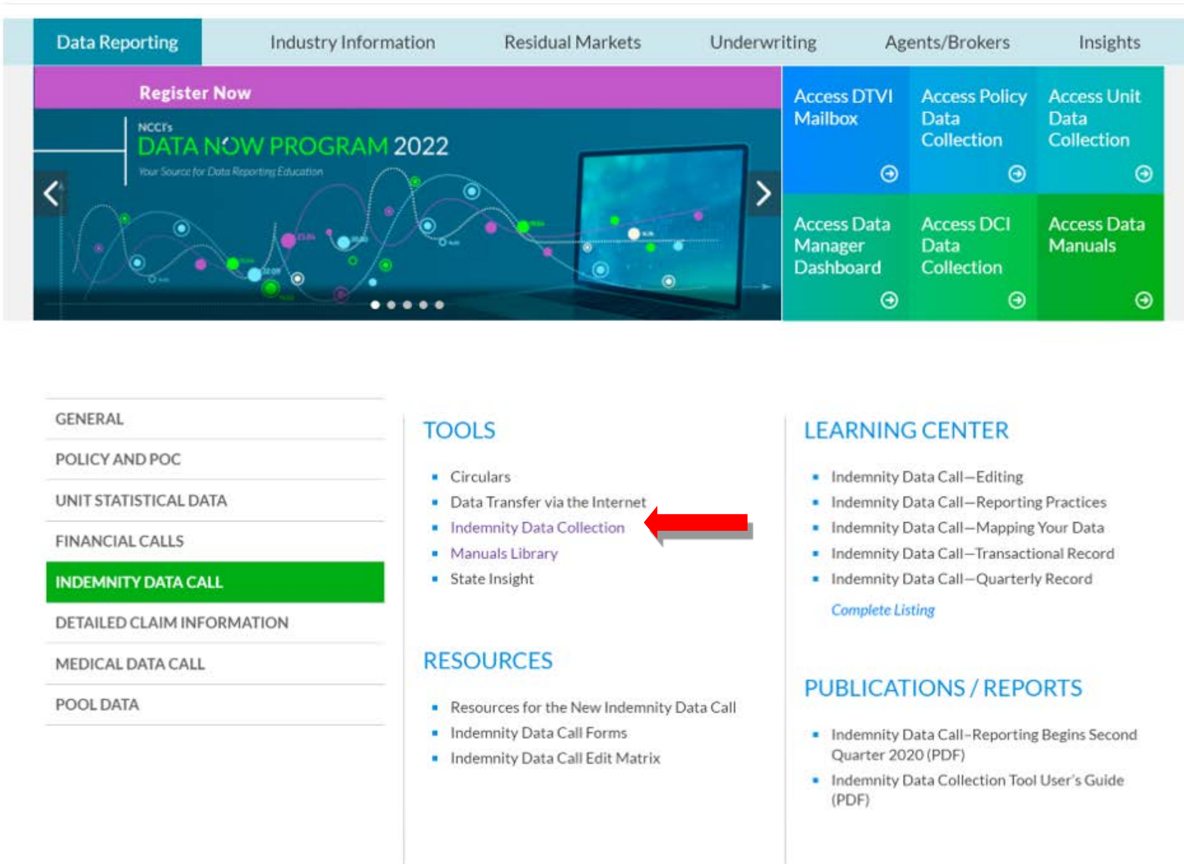


Indemnity Data Call

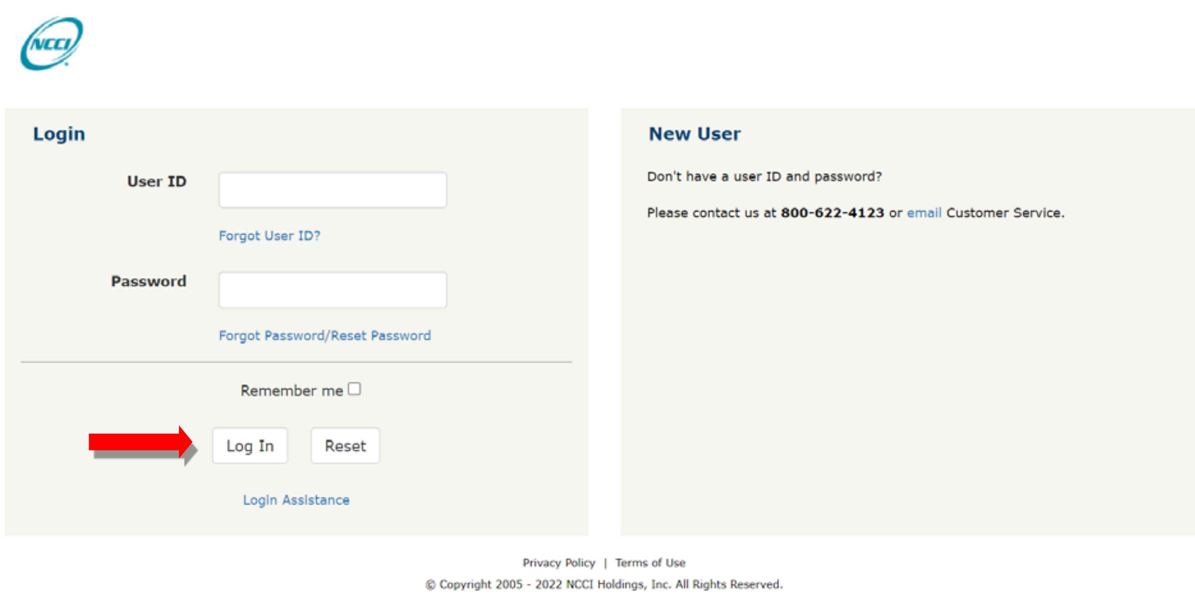
- Click the **INDEMNITY DATA CALL** link



- ❑ From the TOOLS section, select **Indemnity Data Collection**

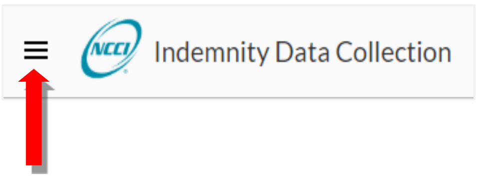


- ❑ Enter your **User ID** and **Password** in the Login box
- ❑ Click **Log In** (bottom of screen)



Main Menu Features

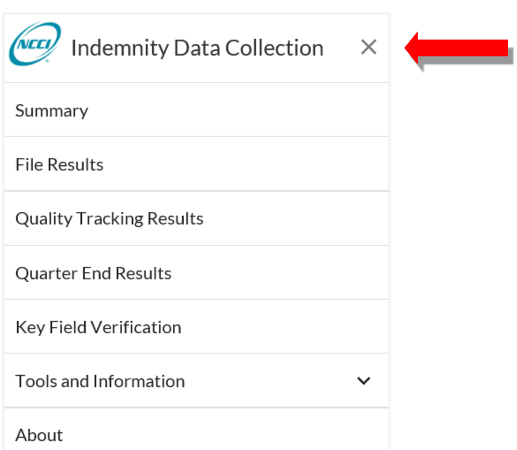
To display the ***Indemnity Data Collection*** main menu options, click the following menu icon at the top left of the screen:



Upon clicking the icon, the following options are displayed:

- **Summary**
- **File Results**
- **Quality Tracking Results**
- **Quarter End Results**—separated into four tabs:
  - Completeness Results
  - Quality Results
  - Observations
  - Incentive Results
- **Key Field Verification**
- **Tools and Information**—provides links to:
  - ***Data Transfer via the Internet***
  - Indemnity Data Edit Matrix
  - ***Indemnity Data Call Reporting Guidebook***
  - Learning Center
  - Publications/Reports
- **About**—provides information about the ***Indemnity Data Collection*** tool

To exit out of the main menu options, click the X in the top-right corner:

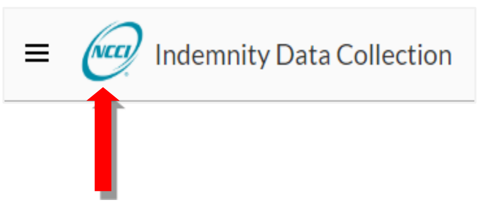


Tool Features

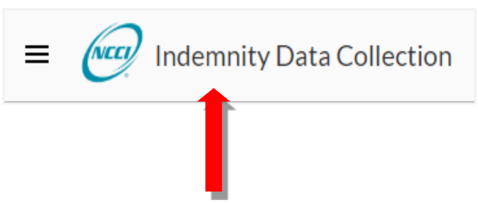
To access additional information, refer to the QUICK LINKS section at the bottom of the screen.

- **QUICK LINKS**—allows you to easily access data-related information, such as ***Data Transfer via the Internet***, Data Reporting, the ***Indemnity Data Call Reporting Guidebook,*** and the ***IDC Tool User’s Guide***

To access **ncci.com**, click the NCCI logo next to the main menu icon.

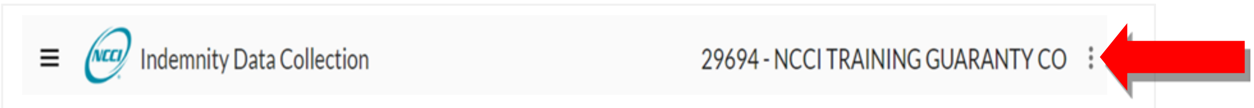


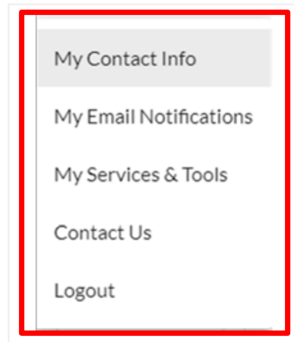
To return to the tool’s Summary page, click **Indemnity Data Collection**.



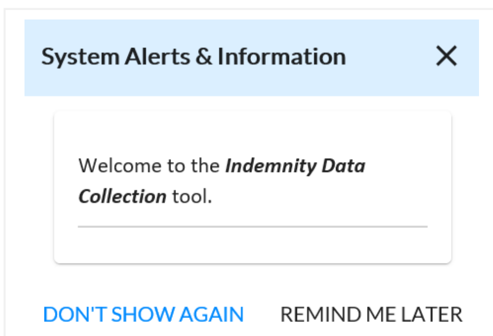
Carrier Group Selection—for data providers submitting for more than one Carrier Group, click the arrow in the top-right corner to select the Carrier Group's results you wish to view.

Then click the three vertical dots next to the Group Code to display the following options:





System Alerts and Information—If there is an important message NCCI needs to display, a pop-up window will appear on your screen:



- If you select **DON'T SHOW AGAIN**, you will not see this alert again.
- If you select **REMIND ME LATER**, you will see this alert each time you log in to the tool, until the alert is removed.

Summary Page

The purpose of the ***Indemnity Data Collection*** Summary page is to provide real-time information to help you monitor your Completeness and Quality reporting performance, based on the results of your production file submissions for the current quarter, in comparison to four prior quarters for trending purposes.

❖ Note that only users under the Carrier Group will be able to access this screen because the timeliness, completeness, and quality of the data are the responsibility of the Carrier Group.

This screen defaults to the reporting quarter for which data is currently due. Upon selecting a different quarter, the data on the screen will change accordingly.

The Summary page is divided into two sections and their associated data:

- **Files**
  - Last 5 Files Received
  - Original Production Files Received
    - Transactional
    - Quarterly
    - Key Field
  - Indemnity Paid Comparison
    - Total Paid Transactions vs. Expected
    - Transactional vs. Change of Quarterly Paid
- **Quality**
  - Quarter End Results
    - Transactional
    - Quarterly
  - Percent of Total Records Returned
    - Transactional
    - Quarterly
    - Key Field
  - Percent of Accepted Records
    - Replacement
    - Cancellation

Files

Last 5 Files Received

The purpose of this section is to show the Carrier Group the most recent five Indemnity files received by NCCI. The section will display the following information:

- Received Date
- Data Provider
- File Name (including whether it's a certification/test file)
- File Type (Original or Replacement)
- Reporting Quarter
- File Status (Accepted, Rejected, In Process)

The goal is to reduce the need for the Carrier Group representative from having to go into the File Results screen if all they need to do is verify what files have been received by NCCI and when. To see more details about a file or to see a more complete list, you may use the menu in the upper-left corner of the screen and select File Results. Or you may click the title of this section, **Last 5 Files Received**. Either method will take you to the File Results screen to view more details on the Indemnity files received by NCCI.

Note: This section is not impacted by the Reporting Quarter selection box. The most recent five files received will be displayed for all reporting quarters.

Original Production Files Received
The purpose of this section is to provide the Carrier Group their total count of original production files that have been submitted in the current reporting quarter and prior quarters. The Carrier Group may determine whether they have submitted the correct number of files for the current quarter.

- Results will be broken out by record type, i.e., Transactional, Quarterly, Key Field Change
- Certification files, Replacement files, and files that have been rejected are excluded

Indemnity Paid Comparison

- **Total Paid Transactions vs. Expected**
  The purpose of this section is to provide the Carrier Group the Total Indemnity Paid for the current reporting quarter and prior quarters. This enables the Carrier Group to determine whether they have submitted the correct amount of Indemnity Paid dollars.

  NCCI also provides a Target or Minimum Expected Indemnity Paid amount that the Carrier Group can use as a guideline for how much should be reported for the given quarter. This is an estimated calculation that is based on the Carrier Group's NAIC Direct Losses Paid from the prior calendar year.

- **Transactional vs. Change of Quarterly Paid**
  This section compares the aggregation of the Transaction Amounts for each individual claim from the Transactional records submitted for the selected quarter/year to the change in the Indemnity Paid-To-Date Amount on the Quarterly record from the prior quarter to the current quarter for the same claim. The percentage difference is then calculated for each claim and is categorized in one of the five ranges as displayed on the graph.

  Ideally, there would be no difference between the total amount paid during the quarter on Transactional records for an individual claim when compared to the change in the Indemnity Paid-To-Date Amount on the Quarterly record from the prior quarter to the current quarter for the same claim. Claims falling into the smaller ranges would be expected, while claims falling into the larger ranges would not be expected.

Quality

Quarter End Results—Transactional and Quarterly

The purpose of this section is to give the Carrier Group a high-level view of the overall quality of their data. NCCI does this by providing them with a summary of the number of elements within range for each category by record type. The summary is based off the results of the Quarter End Results. To get to the details, you can either use the menu in the upper-left corner of the screen and select **Quarter End** or click the title of this section, **Quarter End Results**. Either method will take you to the Quarter End Results screen, where you can then select the **Quality Results** tab to see the results.

Percent of Total Records Returned

The purpose of this section is to provide the Carrier Group the total number of records that have been returned for the current and prior reporting quarters. A large spike in the volume of returned records could indicate a change in your source system that is causing a quality issue.

Results will be separated by record type: Transactional, Quarterly, and Key Field Change.

Percent of Accepted Records—Replacement and Cancellation

The purpose of this section is to provide to the Carrier Group the total number of Replacement and Cancellation records that have been submitted for the current and prior reporting quarters. A large spike in the volume of either of these record types could indicate a change in your source system that is causing or correcting a quality issue.

- This section only applies to the Transactional record type
- Results will be displayed by Transaction type—Replacements and Cancellations
- If Option 2 is used for making changes to previously submitted transactions, the results in this section should be displayed as 0%

File Results

The purpose of the File Results screen is to enable users to:

- View the status of indemnity file submissions—files are either accepted, rejected or in process
- Identify when files were submitted either by quarter, all quarters, and/or for a custom date range
- Identify which data providers have submitted files
- Download returned records for a selected file submission to review in your source system
- Select a file's Production or Certification Submission Report, which identifies edits that evoked, including other information about the submission

❖ Note that all users will be able to access this screen. For third-party data providers reporting on behalf of a Carrier Group, this will be the default screen when accessing the tool. The results will be displayed only for the data submitted by the third-party data provider.

Once a file has been submitted, a ***DTVI*** email will tell you whether the file is rejected or accepted, and an additional email will be sent to notify the submitter if the file was processed successfully in the tool. The email will display one of the following subjects:

- NCCI - Indemnity - File not processed - Group: _____ - Data Provider: _____

or

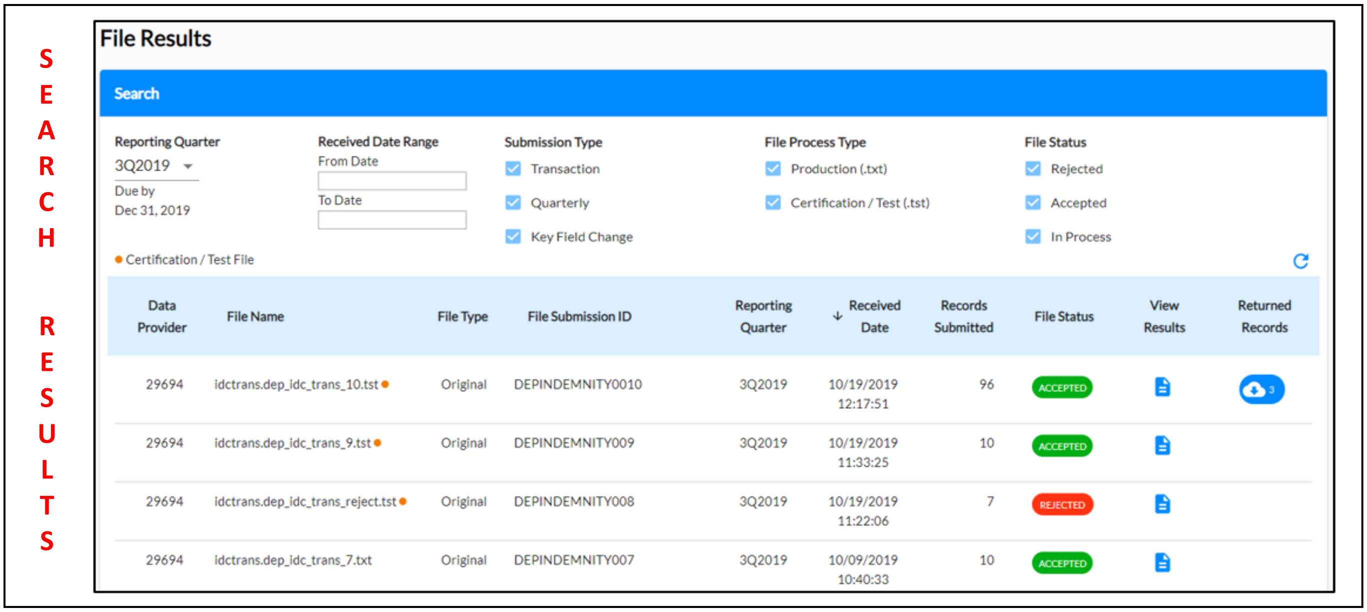
- NCCI - Indemnity - Quality Tracking Results available - Group: _____ - Data Provider: _____

Note: Group will be followed by the numeric Group Code, which represents who the submitter is reporting for. Data Provider will be followed by a numeric ID, which represents either the Carrier Code or Data Provider ID if it is a third-party reporter.

Each email will contain a link that will take you directly to the ***Indemnity Data Collection*** tool, where you will be able to access the results of the corresponding file submission.

This File Results screen is divided into two sections:

- Search
- Results



The Search section (top of the screen) provides the following information:

- **Reporting Quarter**—this field defaults to the reporting quarter for which data is currently due. You can keep the defaulted quarter/year or select the most recent prior quarters, which are listed in descending order for you to select from. Above the defaulted reporting quarter, there is an additional quarter/year (which is the current quarter/year the user is in, i.e., the due quarter/year) and an All Quarters option. Upon selecting the All Quarters option, the user will see their submissions for the entire time frame, in descending order from the most recent file submitted.
- **Received Date Range**—this date range selector is used in conjunction with the Reporting Quarter field. You can search for a specific date range within a quarter or, if the All Quarters option is selected, you can select a date range that spans across quarters. Note that the Reporting Quarter associated with each file will be displayed in the result set. You can enter a From Date without a To Date; however, if the To Date is populated, you must enter a From Date. The date selector limits searches within a one-year time frame based on the dates entered.
- **Submission Type**—this field identifies the type of records in the submission, whether they are Transactional, Quarterly, or Key Field Change records. The filter defaults to **all** options selected. To view only one, simply **uncheck** the other two nonapplicable blue check boxes. To identify the different submission types, look at the beginning of each file name: idctrans—Transactional file; idcqtrly—Quarterly file; idckey—Key Field Change file.
- **File Process Type**—this field identifies the type of file processed. The file type is identified by the file name extension. The file extension TXT identifies a Production file. The file extension TST identifies a Certification/Test file. The field defaults to **both** options selected. To view only one, simply **uncheck** the blue check box of the other one. To identify Certification/Test files in the result set, you can either look for the file name extension (TST) or the orange dot to the right of the File Name in the results.
- **File Status**—this field identifies the file status as either Rejected (i.e., the file has not processed), Accepted (i.e., the file has processed, and a Submission Report with the edit results is available), or In Process (i.e., the file is currently processing; therefore, results are not yet available). The filter defaults to **all** options selected. To view only one, simply **uncheck** the blue check boxes of the others.

The Results section (bottom of the screen) provides information in the following columns:

- **Data Provider**—displays the numeric code of the data provider who submitted the file. The data provider may be a part of the Group (visible in the top right of the screen), or a third-party service provider that has been contracted to submit on behalf of the Group.
- **File Name**—displays the name of the file submitted. Certification/Test files will be identified with an orange dot to the right of the file name.
- **File Type**—identifies the type of file submitted. This information is taken from the File Control Record. It will display either Original or Replacement.
- **File Submission ID**—displays the unique Submission File Identifier that was reported in the File Control Record for the applicable file. It also assists you in identifying your file more easily because it can be customized to suit your business need for file identification. You may wish to have the data providers customize the ID so you can identify which files they've submitted.
- **Reporting Quarter**—identifies the reporting quarter/year as reported in the File Control Record. This column is useful if you are conducting a search across multiple quarters by using the **All Quarters** option in the Reporting Quarter field in the Search section.
- **Received Date**—displays the date and time the file was received at NCCI. This column is sorted in descending order, as a default, from the most recent date/time a file was submitted (i.e., your current submissions will always be displayed at the top). This column can also assist you in identifying your files to review their associated results.
- **Records Submitted**—displays the **total** number of records submitted in the file, including those that were not processed (i.e., returned). If this count is different than what was reported in the File Control Record, the file will display Rejected in the File Status column.
- **File Status**—displays the file status Accepted (green) or Rejected (red). If a file receives a Rejected status, it means that the file has rejected during the File Acceptance Editing phase.
- **View Results**—displays a report icon, regardless of whether the file was accepted or rejected. Click this icon to access the detailed results of your submission. If your file rejected, you will be able to identify the reject reasons to assist you in resubmitting your file successfully. If your file was accepted, you will be able to see the results for the Record Acceptance and Quality Tracking edits.
- **Returned Records**—identifies whether records in your submission were not able to be processed because required elements were not reported accurately. These unprocessed records are returned to you and not used in the Call. If records are returned, a download icon displays in the column. The number next to the icon represents the count of records returned. The count in the Records Submitted column minus the count in the Returned Records column yields the count of the records in the file that were accepted. **Note:** The File Status will display Accepted even if all the records in the file are returned due to the fact the File Control Record was accurately reported.

  A CSV file will be available for you to view with the necessary key fields to help you identify which claims in your system were impacted. If you click the blue cloud download icon, a file appears at the bottom of your screen, displaying the progress of the download. The time it takes to complete the download will vary depending on the size of the file. You can continue using the tool while the download takes place.

  Within the file, you will see the associated edit number and description of each record that was returned. Please note that if a record fails more than one record acceptance edit, there will be more than one row for that record because each row in the file represents a single edit (or reason) for a record being returned. Upon opening the Submission Report in the View Results column, you will also see which elements contained returned records, along with the edit details and associated counts of returned records.

  If no records were returned in your file submission, you will not see anything in this column.

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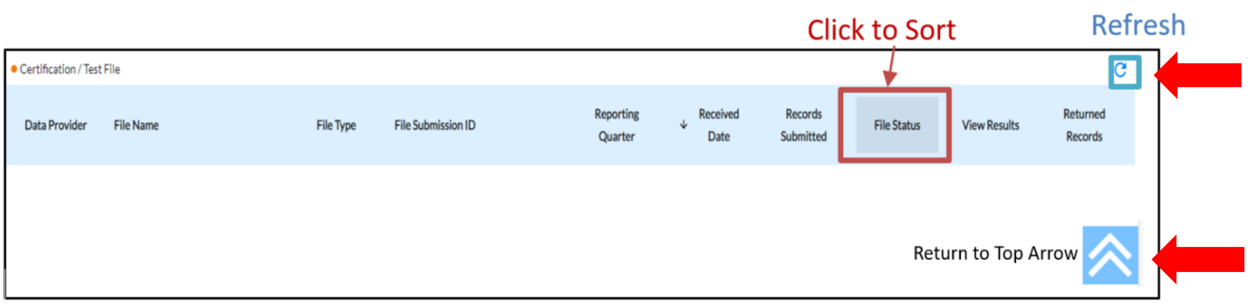
29694 - NCCI TRAINING GUARANTY CO
IDC Returned Records - 10/19/2019 12:17:51
File Name: idctrans.dep_idc_trans_10.tst - File Submission ID: DEPINDEMNITY0010 - 3Q19

Record Type	Trans Code	Trans Date	Trans Identifier	Carrier Code	Policy Number	Policy Eff Date	Claim Number	Accident Date	Edit Number	Edit Description
1	1	20190430	DEPIDCDATE0001023	29694	IDCPOLEA00023	20180201	IDCCLAIMEA23	20190411	0520-03	Transaction Date is outside the current submission period.
1	1	20190430	DEPIDCDATE0001024	29694	IDCPOLEA00024	20180411	IDCCLAIMEA24	20190412	0520-03	Transaction Date is outside the current submission period.
1	1	20190404	DEPIDCDATE0001025	29694	IDCPOLEA00025	20180201	IDCCLAIMEA25	20180405	0520-03	Transaction Date is outside the current submission period.

Sortable Columns—All columns are sortable in the results except for View Results. Simply click the column name to sort either in descending order (a downward facing arrow will be displayed next to the column name) or ascending order (an upward facing arrow will be displayed).

Refresh Button—This circular blue arrow appears above the results section to the right. It can be used to refresh the results on your screen.

Return to Top Arrow—If you have a high volume of files in your results and find yourself scrolling down the page, use the Return to Top Arrow at the bottom right of the screen to bring you back to the top of your results.

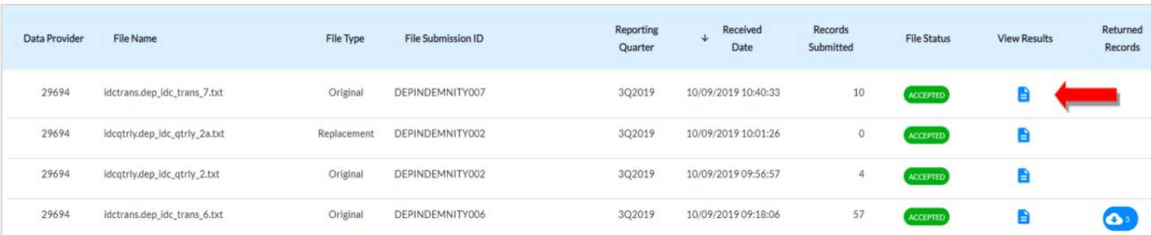


Submission Reports

The purpose of the Submission Report is to identify the population, validity, and quality results of data reported on each file submission by providing the following details:

- Rejected File Edit Results
- Returned Record Edit Results
- Quality Tracking Edit Results
- Key Field Verification Results
- Informational Details Reported

It is accessed by clicking the report icon under the View Results column in the File Results screen:



Data Provider	File Name	File Type	File Submission ID	Reporting Quarter	Received Date	Records Submitted	File Status	View Results	Returned Records
29694	idctrans.dep_idc_trans_7.txt	Original	DEPINDEMNITY007	3Q2019	10/09/2019 10:40:33	10	ACCEPTED		
29694	idcqtrly.dep_idc_qtrly_2a.txt	Replacement	DEPINDEMNITY002	3Q2019	10/09/2019 10:01:26	0	ACCEPTED		
29694	idcqtrly.dep_idc_qtrly_2.txt	Original	DEPINDEMNITY002	3Q2019	10/09/2019 09:56:57	4	ACCEPTED		
29694	idctrans.dep_idc_trans_6.txt	Original	DEPINDEMNITY006	3Q2019	10/09/2019 09:18:06	57	ACCEPTED		3

The report also includes general information on the file submission, such as:

- Submitter Information—who submitted the file, along with their email address
- Submission Details—displays information such as the record type (Transactional, Quarterly, or Key Field Change), File Name, Submission File ID
- Validator Information—the Primary (main) validator who will be working with you to validate your data, in addition to the Secondary (backup) validator

General Information

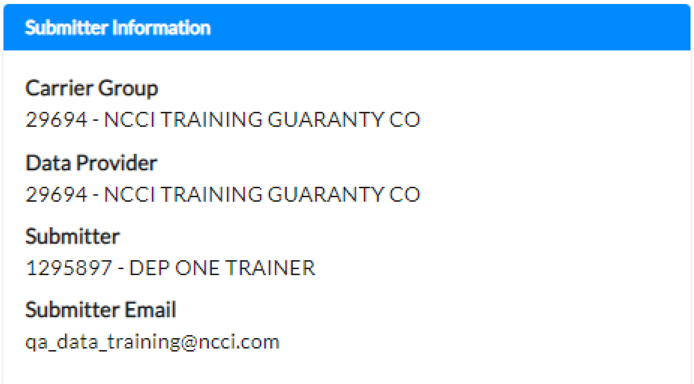
Types of Submission Reports

At the top left of the screen, you will see the title **File Results—Production Report** or **File Results—Certification Report**. This identifies the file process type the file was submitted as by the user. If the file has a TXT extension, it is a production file. If it has a TST extension, it is a certification or test file. Except for the File Results and the Submission Report screens, all screens within this tool include production data only.

If the file rejected, you will see the title **File Rejected**.

Submitter Information

This section provides the details on the submitter of the file:



Carrier Group—this represents the 5-digit Carrier Group ID that was reported in the File Control Record, along with the associated name of the Carrier Group.

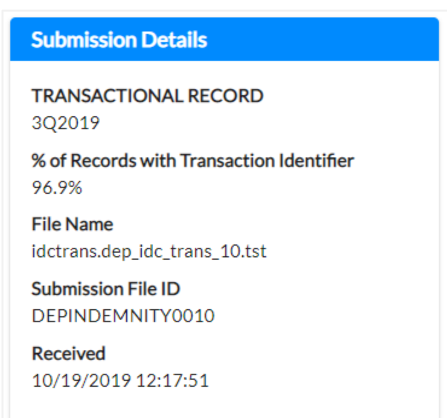
Data Provider—this identifies the data provider that submitted the file. A data provider can be part of the Carrier Group or a third-party data provider. Their numeric code will be displayed, along with the name of the associated company.

Submitter—this identifies the person who submitted the file. It displays their User ID, along with their name.

Submitter Email—this displays the submitter's email address for contact purposes.

Submission Details

This section provides the details of the file submitted:



TRANSACTIONAL, QUARTERLY, or KEY FIELD CHANGE RECORD—displays the record type submitted.

NQYYYY—represents the reporting quarter/year reported in the File Control Record.

% of Records with Transaction Identifier—appears only on the Transactional record. It is for informational purposes only and lets you and the validator understand which reporting method the submitter is using to report the data (i.e., Option 1 or Option 2). Typically, we would expect either approximately 100% for those using Option 1 or 0% for those using Option 2. If this is a number in the middle, then this could mean there is an issue with how this field is being used or populated.

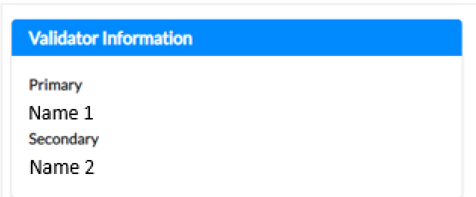
File Name—identifies the selected file the user is reviewing.

Submission File ID—helps identify the file the user is reviewing. This field must be reported as a unique field for each Original file submission. The File Name does not have to be uniquely named.

Received—displays the date and time the file was received by NCCI.

Validator Information

This section provides the details of the IDC validator assigned to the Carrier Group.

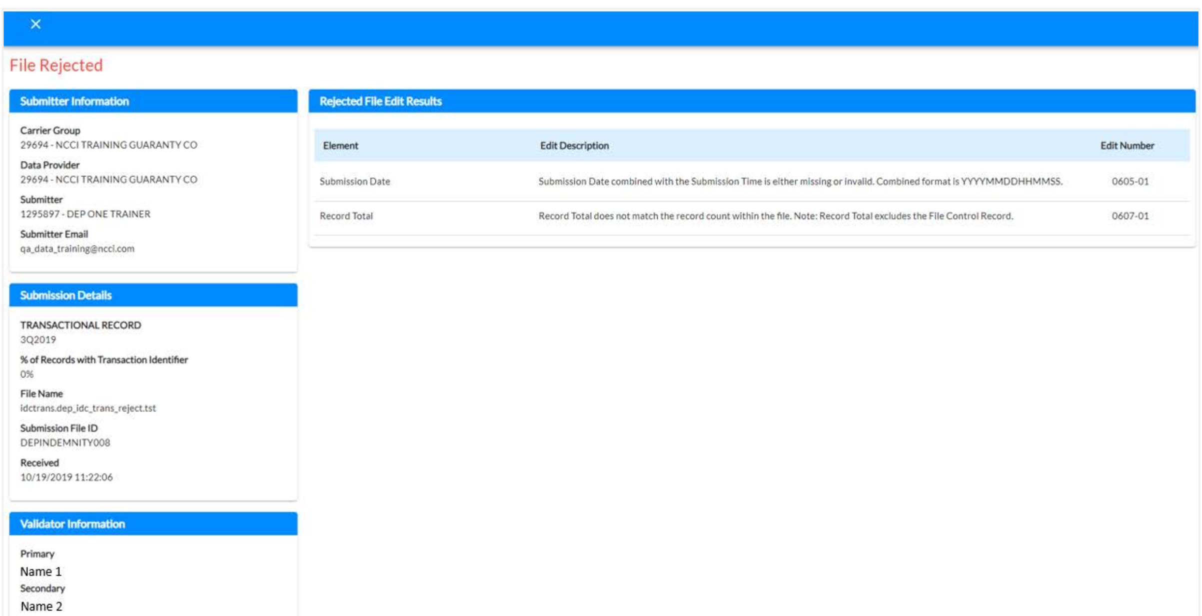


Primary—displays the name of the primary validator assigned to the Carrier Group

Secondary—displays the name of the secondary or backup validator assigned to the Carrier Group or **Not assigned** if there isn't one

Rejected File Edit Results

When the Submission Report for a Rejected File has been selected, a new screen will appear labeled in red with File Rejected:



The left side of the screen provides you with the Submitter Information, Submission Details, and Validator Information. At the top of the screen will be a section called Rejected File Edit Results. The purpose of this section of the Submission Report is to identify why a file rejected and did not get processed.

Element—identifies which element(s) received an edit(s).

Edit Description—describes why the element received an edit.

Edit Number—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is in Part 9 of the ***Indemnity Data Call Reporting Guidebook*** in the **Manuals Library**.

Once you've reviewed the edits on this screen, we recommend you review your file, make the applicable corrections to it or to your source system as needed, submit a file with the changes, and review the new results.

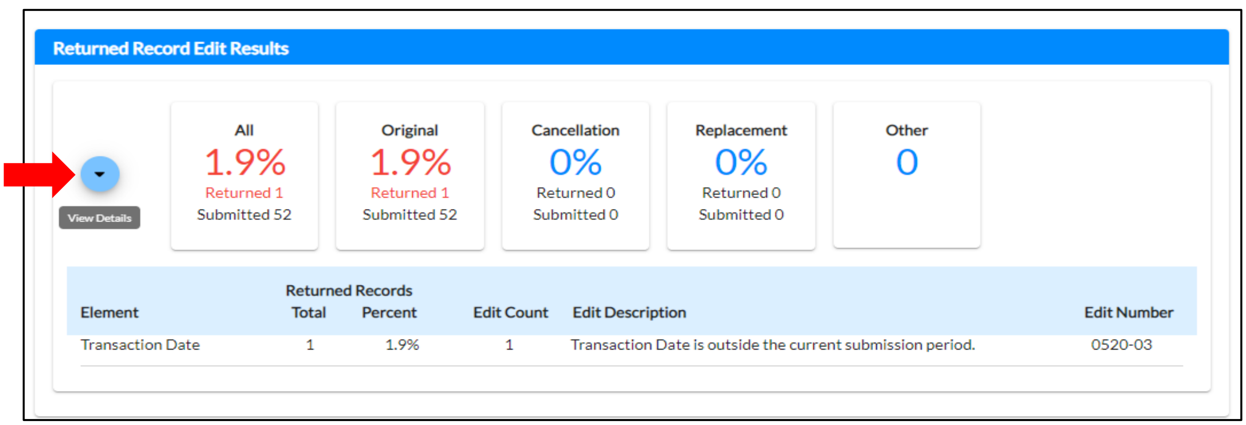
To exit out of this page, click the white X within the blue bar at the top left of the screen.

Returned Record Edit Results

When a Submission Report for an accepted file has been selected, a new screen will appear labeled File Results—Production Report (or File Results—Certification Report, depending on which file process type you selected).

The purpose of this section of the Submission Report is to identify the detailed reasons why individual records were not accepted. The default view displays summary information in a tile format. Its main purpose is to show you the count and percent of records that were returned from your file submission.

To expand the summary to view more details, click the blue button with the black arrow to the left of the tiles. If you did not have **any** records returned in your file, you will see the message **No data found** when you expand the section. Depending on the record type you submitted, you will see different information in the summary:



Returned Record Edit Results Summary—Transactional Records

The following tiles will be displayed from left to right:

All—this represents the returned record results for all transaction types reported in the file:

- NN.N%—displays the percent of all records returned divided by the total number of records submitted for all transaction codes reported. Either a 0% in blue will be displayed, indicating there are no returned records, or a percent greater than 0% will be displayed in red. This identifies records that cannot be used for the Call and that need to be reviewed and resubmitted. These individual records can be accessed on the File Results screen (see File Results).
- Returned—identifies the number of records returned out of the entire file submission.

- Submitted—identifies the total number of records submitted. It matches the Records Submitted on the File Results screen.

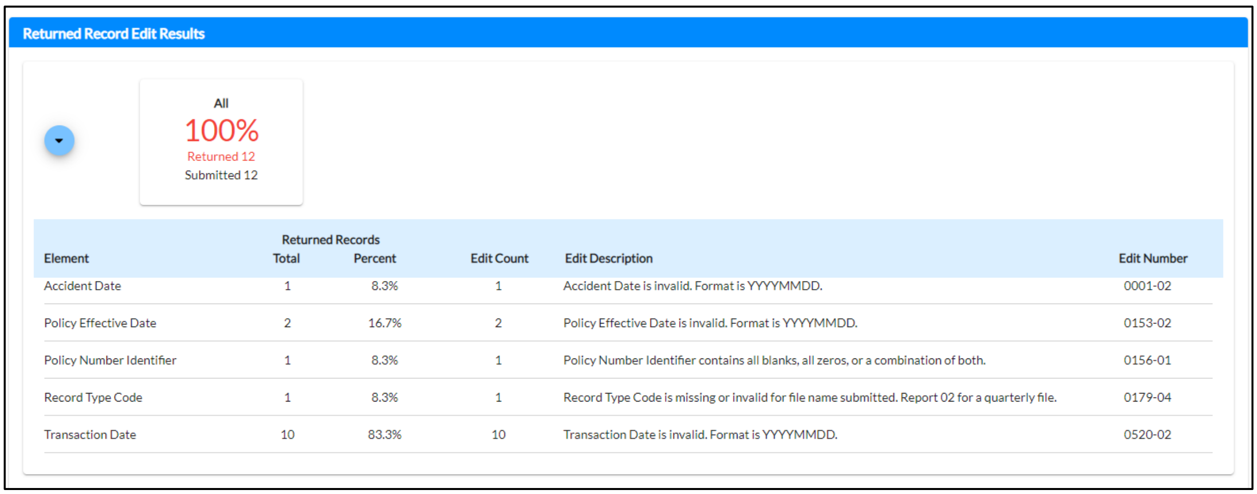
Original—this represents the same information as the All tile above; however, it includes only records reported with Transaction Codes of 01—Original records.

Cancellation—this represents the same information as the All tile above; however, it includes only records reported with Transaction Codes of 02—Cancellation records. Some users may always see a 0% in this tile if they use Option 2, which uses only Transaction Code 01—for Original records.

Replacement—this represents the same information as the All tile above; however, it includes only records reported with Transaction Codes of 03—Replacement records. Some users may always see a 0% in this tile if they use Option 2, which uses only Transaction Code 01—for Original records.

Other—represents the same information as the All tile above; however, it includes only records reported with Transaction Codes that do not equal 01 (Original), 02 (Cancellation), or 03 (Replacement). This tile identifies invalid values reported for the Transaction Code.

Returned Record Edit Results Summary—Quarterly and Key Field Change Records
For these records, only the All tile will be displayed. The Quarterly and Key Field Change records are not reported with transaction codes.


Returned Record Edit Results

All
100%
Returned 12
Submitted 12

Element	Returned Records Total	Percent	Edit Count	Edit Description	Edit Number
Accident Date	1	8.3%	1	Accident Date is invalid. Format is YYYYMMDD.	0001-02
Policy Effective Date	2	16.7%	2	Policy Effective Date is invalid. Format is YYYYMMDD.	0153-02
Policy Number Identifier	1	8.3%	1	Policy Number Identifier contains all blanks, all zeros, or a combination of both.	0156-01
Record Type Code	1	8.3%	1	Record Type Code is missing or invalid for file name submitted. Report 02 for a quarterly file.	0179-04
Transaction Date	10	83.3%	10	Transaction Date is invalid. Format is YYYYMMDD.	0520-02

All—this represents the returned record results for all records reported in the file:

- NN.N%—displays the percent of all records returned divided by the total number of records submitted. Either a 0% in blue will be displayed, indicating there are no returned records, or a percent greater than 0% will be displayed in red. This identifies your records that cannot be used for the Call and that need to be reviewed and resubmitted. These individual records can be accessed on the File Results screen (see File Results).
- Returned—identifies the number of records returned out of the entire file submission.
- Submitted—identifies the total number of records submitted. It matches the Records Submitted on the File Results screen.

Returned Record Edit Results Details—All Records

Upon expanding the summary section, you will see the following detailed information:

- **Element**—identifies which element(s) received an edit(s).

- **Returned Records**:
    - Total—displays the count of total records returned for the given element
    - Percent—displays the count of records returned for the given element divided by the total records submitted in the file
- **Edit Count**—displays the count of occurrences of an edit.
- **Edit Description**—describes why the element received the individual edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is in Part 9 of the ***Indemnity Data Call Reporting Guidebook*** in the **Manuals Library.**

❖ Note that the total number of returned records in the file may not equal the sum of all returned records for each element. The reason for this is that more than one element per record could receive an edit that causes the record to be returned.

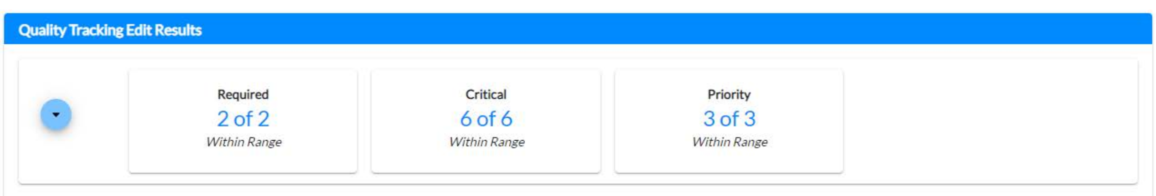
Once you've reviewed the edits on this screen, we recommend you review your source system, make any applicable corrections to it, and determine whether you need to resubmit the records that were returned.

To exit out of this page, click the white X within the blue bar at the top left of the screen.

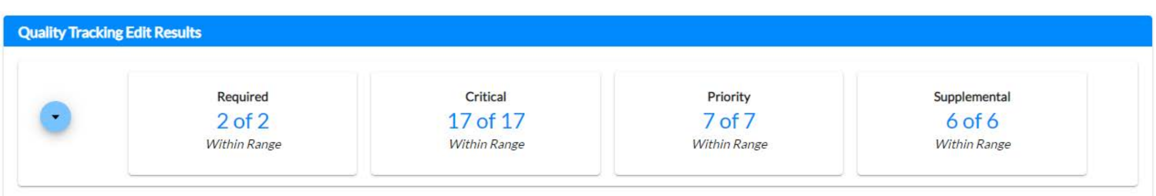
Quality Tracking Edit Results—Transactional and Quarterly Files Only

The purpose of this section of the Submission Report is to allow you to gauge the quality of the data you are reporting. This stage of editing checks the population and validity of the remaining data elements in the Transactional and Quarterly records after they have passed the File and Record Acceptance stages of editing.

Quality Tracking—Transactional Record Summary



Quality Tracking—Quarterly Record Summary



Quality Tracking Edit Results—Summary

The default view for this section displays a summary in a tile format for each category of elements. These categories will vary slightly depending on the record type of the file. Each category provides the total number of elements and the associated number that are *Within Range*. In the Required category, for example, 2 of 2 *Within Range* indicates there are two elements that are meeting or exceeding the threshold.

The tolerances are set as an internal gauge of each element's quality. While the Call matures, NCCI monitors all carriers with Quality Tracking results and resets the tolerances as appropriate. The summary provides information for you to understand how you're performing with your data quality.

Each record type has the following element categories:

- Transactional Record—Required (2 of 2), Critical (6 of 6), and Priority (3 of 3)
- Quarterly Record—Required (2 of 2), Critical (17 of 17), Priority (7 of 7), and Supplemental (6 of 6)

As a reminder, the data element categories are defined as follows:

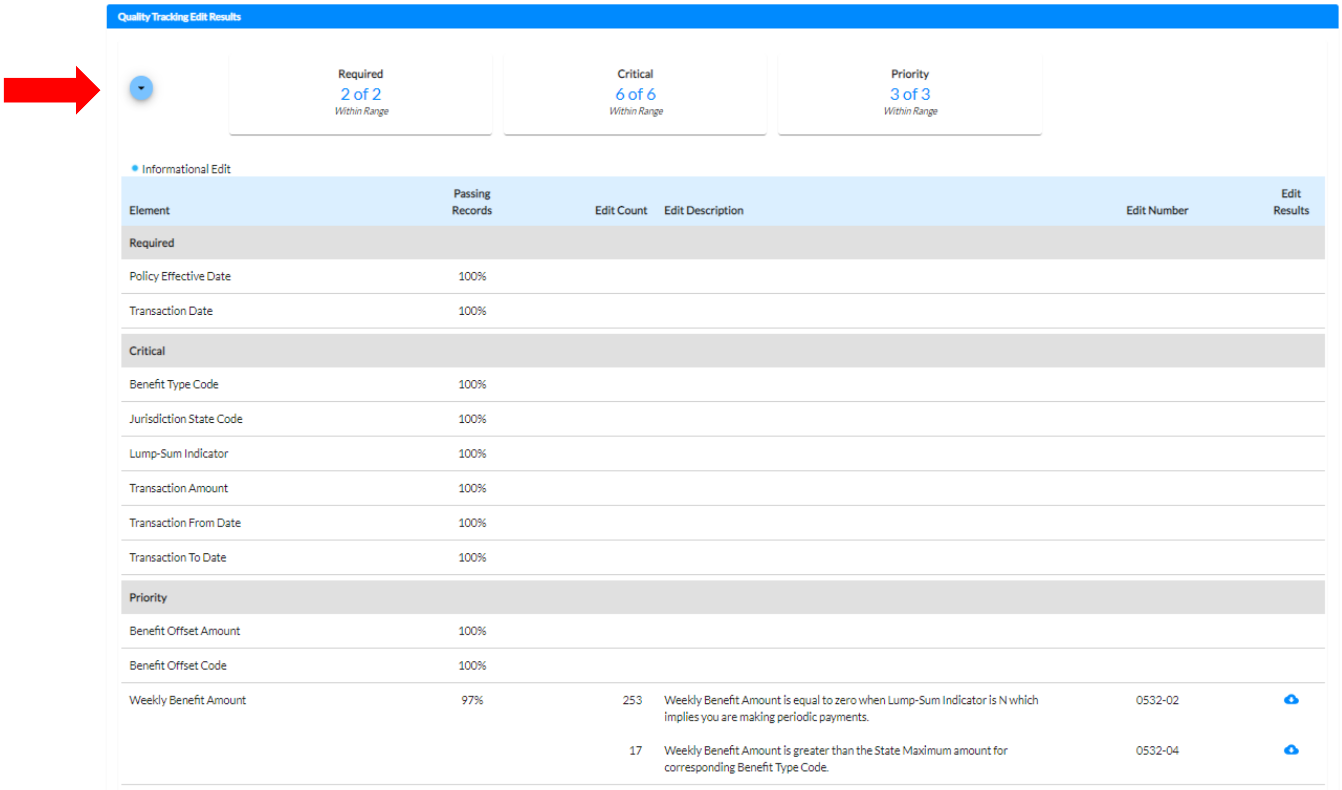
- Required (R)—the data element is necessary for record acceptance.
- Critical (C)—the data element is of critical importance for any type of use.
- Priority (P)—the data element is very important for legislative pricing.
- Supplemental (S)—the data element is important for use in research studies. This category is applicable to the Quarterly record only.

Even if the summary displays all elements within the range, it is recommended that you expand the summary to view the underlying details. Your results may be close to the threshold and warrant additional review. It is also recommended that you review the edit results and CSV downloads for any invalid values to determine the reason why invalid values are being reported. This may be an indication of a mapping issue that can be resolved systematically.

Quality Tracking Edit Results—Details

To view the underlying details, click the blue button with the black arrow to the left of the tiles. You will see a grid divided into the categories of elements.

Quality Tracking Edit Results Details Example—Transactional Record



Quality Tracking Edit Results

Required	Critical	Priority
2 of 2 *Within Range*	6 of 6 *Within Range*	3 of 3 *Within Range*

• Informational Edit

Element	Passing Records	Edit Count	Edit Description	Edit Number	Edit Results
Required					
Policy Effective Date	100%				
Transaction Date	100%				
Critical					
Benefit Type Code	100%				
Jurisdiction State Code	100%				
Lump-Sum Indicator	100%				
Transaction Amount	100%				
Transaction From Date	100%				
Transaction To Date	100%				
Priority					
Benefit Offset Amount	100%				
Benefit Offset Code	100%				
Weekly Benefit Amount	97%	253	Weekly Benefit Amount is equal to zero when Lump-Sum Indicator is N which implies you are making periodic payments.	0532-02	
		17	Weekly Benefit Amount is greater than the State Maximum amount for corresponding Benefit Type Code.	0532-04	

For each category, you will see:

- **Element**—identifies which element(s) received an edit(s).
- **Passing Records**—displays the number of records that did not receive an edit for that element divided by the number of records submitted.
- **Edit Count**—displays the count of occurrences of an edit.
- **Edit Description**—describes why the element received an edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is in Part 9 of the ***Indemnity Data Call Reporting Guidebook*** in the **Manuals Library**.
- **Edit Results**—provides a file to download containing the edit details.

This grid will always display the category and elements in the same order to provide for consistent viewing. Any Passing Record below the prementioned threshold will be displayed in red. The count of each element that is equal to or greater than the threshold will be considered *Within Range* for its applicable category and is what determines the summary results.

Informational Edits

At the top left of the grid, you will see a legend with a blue dot and the words "Informational Edit." Some elements may have these edits, which are identified to the left of the Edit Number by a blue dot. These edits are **not** included in the Passing Records percent. Informational Edits are not considered important enough on their own to be counted towards a future compliance program. Their purpose is for you to monitor their occurrences because they could indicate a larger quality issue. We recommend that you review your data to see if it warrants a correction in your system.

Downloading Edit Results

A downloadable CSV file is available by clicking the blue cloud download icon to view which records were impacted by each edit. After clicking the download icon, the CSV file will appear at the bottom of the screen, displaying the progress of the download. The download duration time will vary depending on the size of the file. The tool may still be used while the download is in progress. Once the download is complete, the CSV file will contain the key fields for each of the claims impacted, along with all necessary elements. The claims should be reviewed to determine whether any corrections to the source system are necessary.

- ❖ The number of records within this file may be less than the amount displayed on the screen due to subsequent file submissions that may either cancel or replace the prior record, thereby eliminating the edit.

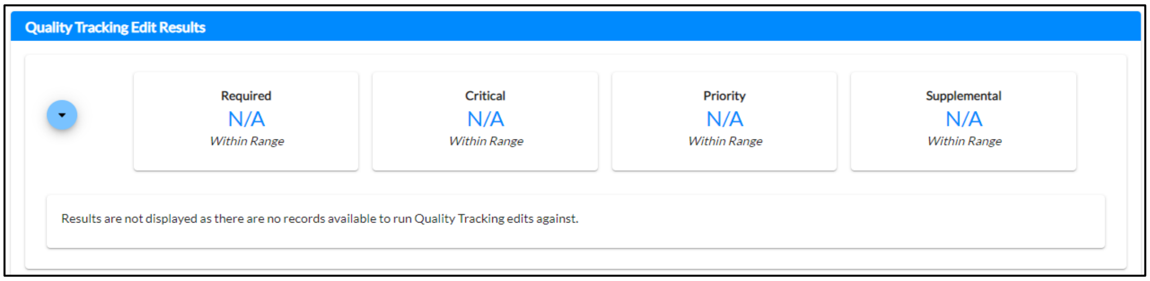
Example of Downloaded Edit

(c) Copyright 2019 National Council on Compensation Insurance Inc. All Rights Reserved.
29694 - NCCI TRAINING GUARANTY CO
IDC Edit Download 3Q2019 - 10/11/2019 13:48:55
Edit Number 0153-04 : Policy Effective Date is more than 13 months prior to the Accident Date.
The number of records may be less than the amount displayed on the screen due to subsequent file submissions.

Record Type	Trans Code	Trans Date	Trans Identifier	Carrier Code	Policy Number	Policy Effective Date	Claim Number	Accident Date	Policy Effective Date	Accident Date
1	1	7/25/2019	DEPIDCDATA0001038	29694	IDCPOLAA00038	2/1/2018	IDCCLAIMAA38	4/26/2019	20180201	20190426
1	1	7/25/2019	DEPIDCDATA0001055	29694	IDCPOLAA00055	2/5/2017	IDCCLAIMAA55	4/5/2018	20170205	20180405
1	1	7/25/2019	DEPIDCDATA0001056	29694	IDCPOLAA00056	2/5/2017	IDCCLAIMAA56	4/26/2019	20170205	20190426
1	1	7/25/2019	DEPIDCDATA0001057	29694	IDCPOLAA00057	2/1/2018	IDCCLAIMAA57	7/26/2019	20180201	20190726

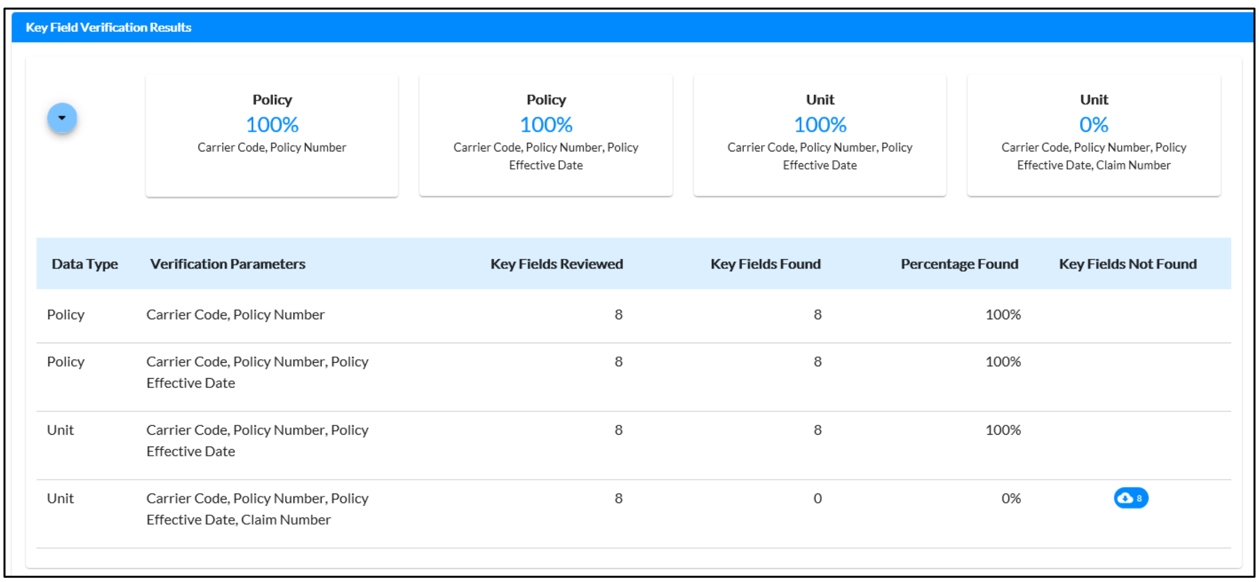
No Quality Tracking Results

There may be instances when the summary results display N/A for each category. When you expand the summary, it displays this message: **Results are not displayed as there are no records available to run Quality Tracking edits against.** This could indicate that either all the records you submitted in the file were returned or the file you submitted may have included only Cancellation records.



Key Field Verification Results—Transactional and Quarterly Files Only

The Submission Report provides the Key Field verification results for the individual file to help you identify any key field matching issues specific to the file. The purpose of this screen is to display the percentage found specific key fields from the Indemnity Data Call matching the same key fields on the Policy data and Unit Statistical data submitted for the Carrier Group.



Data Type	Verification Parameters	Key Fields Reviewed	Key Fields Found	Percentage Found	Key Fields Not Found
Policy	Carrier Code, Policy Number	8	8	100%	
Policy	Carrier Code, Policy Number, Policy Effective Date	8	8	100%	
Unit	Carrier Code, Policy Number, Policy Effective Date	8	8	100%	
Unit	Carrier Code, Policy Number, Policy Effective Date, Claim Number	8	0	0%	8

We compare four sets of parameters, two each for Policy data and Unit Statistical data, to the Indemnity data each time you submit a Transactional or Quarterly file. The parameters are as follows:

Policy Data

- Carrier Code and Policy Number
- Carrier Code, Policy Number, and Policy Effective Date

Unit Statistical Data

- Carrier Code, Policy Number, and Policy Effective Date
- Carrier Code, Policy Number, Policy Effective Date, and Claim Number

For the comparison to Policy data, NCCI will only look to match the key fields between the two data types for policies up to 48 months old, based on the Policy Effective Date of the claim submitted on the Indemnity Data Call. If the claim is from a policy older the 48 months, NCCI will **not** try to match it to the Policy data. We feel it would be unreasonable to ask you to research the discrepancy and correct the key fields in your system to match between the two data types.

Likewise, for the Unit Statistical data, we match claims with Policy Effective Dates that are between 21 and 48 months old. NCCI chose 48 months for the same reason as the Policy data comparison and 21 months to ensure that the Unit Statistical data had ample time to be submitted.

This screen displays the following information from left to right:

- **Data Type**—identifies which data type comparison the parameters and results are being derived from
- **Verification Parameters**—displays the combination of key fields that are being used in the comparison
- **Key Fields Reviewed**—indicates the number of unique key field combinations that were used in the comparison
- **Key Fields Found**—shows the number of unique key field combinations that were found in the comparison
- **Percentage Found**—displays Key Fields Found / Key Fields Reviewed as a percentage
- **Key Fields Not Found**—provides a file to download containing the details of the key fields not found

Downloading Key Fields Not Found

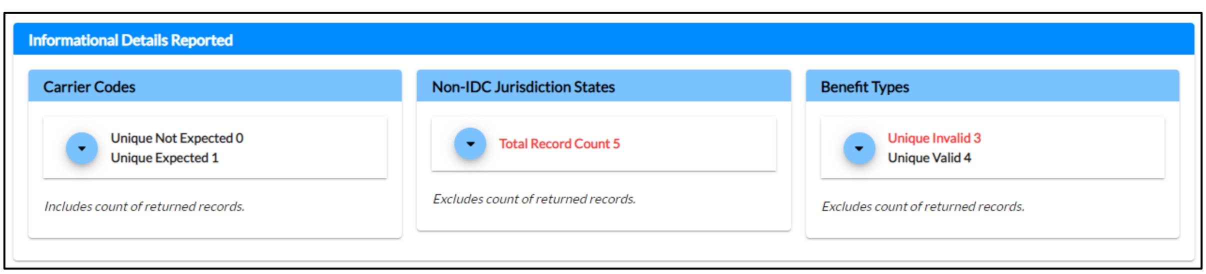
A downloadable CSV file is available by clicking the blue cloud download icon to view which records were impacted by each edit. After clicking the download icon, the CSV file will appear at the bottom of the screen, displaying the progress of the download. The download duration time will vary depending on the size of the file. The tool may still be used while the download is in progress. Once the download is complete, the CSV file will contain the key fields for each of the claims impacted, along with the Data Type, Verification Parameters, and Policy Effective Date Range. The claims should be reviewed to determine whether any corrections to the source system are necessary.

Informational Details Reported

The Submission Report provides additional information on each file you submit to help you identify invalid values reported, in addition to trends in your data.

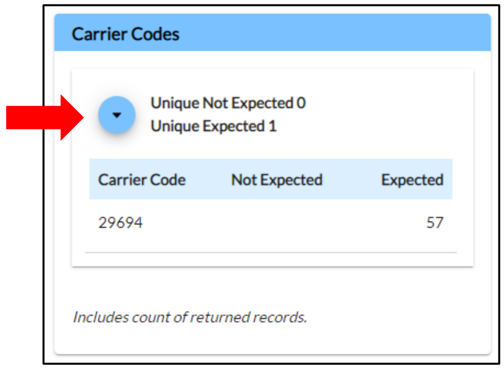
The following sections are provided for the Transactional and Quarterly files:

- **Carrier Codes**—viewable for both the Transactional and Quarterly file
- **Non-IDC Jurisdiction State Codes**—viewable for both the Transactional and Quarterly file
- **Benefit Type Codes**—viewable for the Transactional file only



Carrier Codes

At the summary level, this section provides the number of unique Carrier Codes and are categorized as expected and not expected, based on the carrier codes reported. This count will also include any invalid carrier codes reported. Click the blue button with the black arrow to expand the summary section and view the detailed information reported.



This information is separated into three columns:

- **Carrier Code**—displays the unique Carrier Codes reported
- **Not Expected**—displays the record count of unique Carrier Codes reported that are not expected (if any)
- **Expected**—displays the record count of unique Carrier Codes reported that NCCI expects

Note: All counts include returned records.

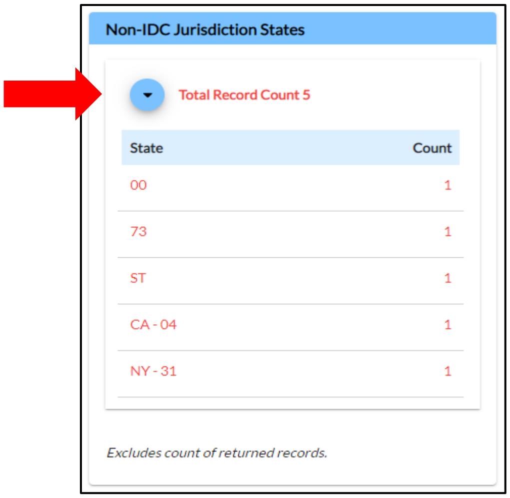
If you see a count in the Not Expected column, research the reported values in your source system to troubleshoot why they are appearing as Not Expected.

To collapse the detail view and return to the summary view, click the blue button with the black arrow.

Non-IDC Jurisdiction State Codes

At the summary level, this section provides the total count of non-Indemnity Data Call jurisdiction state codes reported in the file. If the count is zero, this section will be grayed out. If the count is greater than zero, the section will be expandable to view additional details, and the Total Count will appear in red.

Click the blue button with the black arrow to expand the summary section and view the detailed information reported.



This information is broken out as follows:

- **State**—displays the non-IDC jurisdiction state reported in the state format SS-NN, where SS = the state abbreviation and NN equals the associated state code. If the state is invalid, it will display as reported. If this element was left blank, you will see a record with only a count of occurrences populated.
- **Count**—this column provides the associated count of occurrences the applicable value was reported.

  Note: All counts exclude returned records.

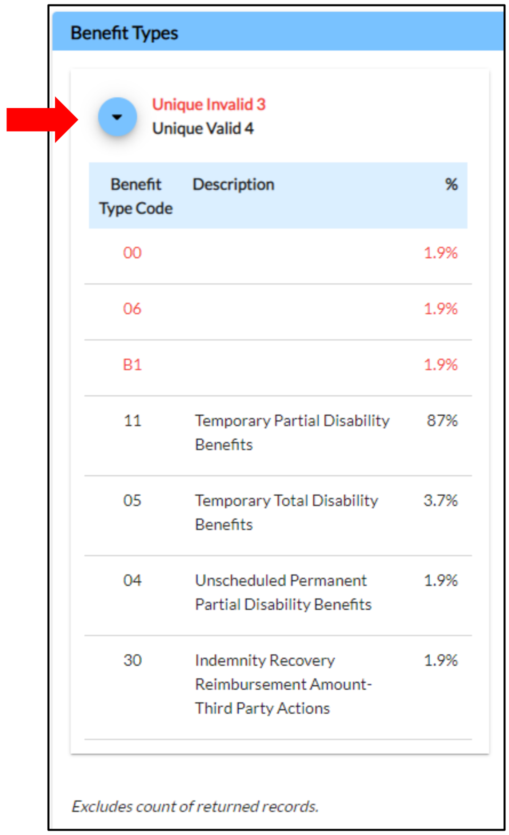
If you see any non-IDC jurisdiction states reported, research the reported values in your source system to troubleshoot why they are appearing as non-IDC jurisdiction states.

To collapse the detail view and return to the summary view, click the blue button with the black arrow.

Benefit Types

At the summary level, this section provides the count of unique invalid and unique valid benefit type codes reported in the file. If there is one or more invalid code reported, the invalid count will appear in red.

By clicking the blue button with the black arrow, you can expand the summary section to view the detailed information reported.



Benefit Type Code	Description	%
00		1.9%
06		1.9%
B1		1.9%
11	Temporary Partial Disability Benefits	87%
05	Temporary Total Disability Benefits	3.7%
04	Unscheduled Permanent Partial Disability Benefits	1.9%
30	Indemnity Recovery Reimbursement Amount-Third Party Actions	1.9%

This information is broken out as follows:

- **Benefit Type Code**—displays all Benefit Type Code values reported. Invalid values are displayed first, from highest to lowest percent of each value reported. Valid values are then displayed in the same order.
- **Description**—displays the associated descriptions for valid Benefit Type Codes, which are in the ***Indemnity Data Call Reporting Guidebook***.
- **%**—displays the percentage of occurrences each code is reported in the file.

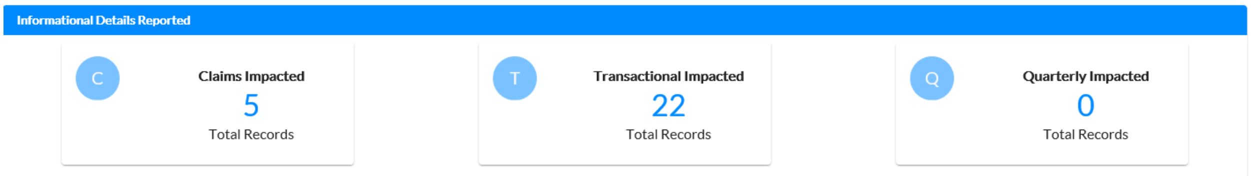
Note: All counts exclude returned records.

If you see any invalid Benefit Type Codes reported, you will also receive edits for these, which are viewable in this report in the Quality Tracking Edit Results section. The purpose of this informational section is to help you identify what value(s) you reported that caused these edits to fire, so you can research them further. The cause may be a systemic or mapping issue that needs to be corrected. This section will also help you to see if you are submitting a disproportionate percentage of a particular Benefit Type Code, whether valid or invalid.

To collapse the detail view and return to the summary view, click the blue button with the black arrow.

The following sections are provided for the Key Field Change file only:

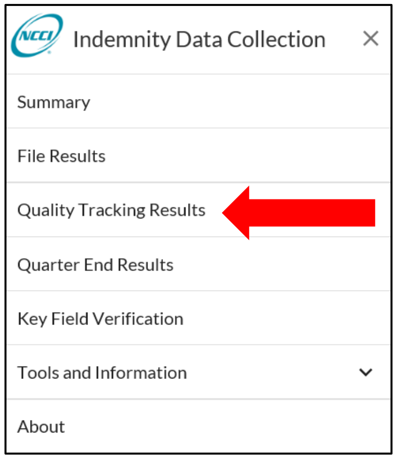
- **Claims Impacted**—displays the total number of claims impacted, i.e., updated, by the Key Field Change file
- **Transactional Impacted**—displays the total amount of Transactional records that were impacted, i.e., updated, by the Key Field Change file
- **Quarterly Impacted**—displays the total amount of Quarterly records that were impacted, i.e., updated, by the Key Field Change file



Quality Tracking Results

The purpose of the Quality Tracking Results screen is to display the aggregate quality of the data you've reported. This stage of editing checks the population and validity of the remaining data by data element after it has passed both the File Acceptance and Record Acceptance stages of editing. Results are refreshed after each file submission.

To access the Quality Tracking Results section, click the main menu icon and select **Quality Tracking Results**.

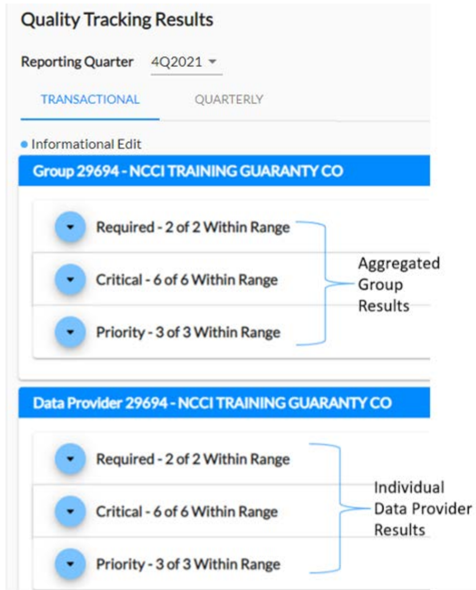


The Quality Tracking Results screen has two tabs to select from, one for each record type:

- Transactional (default)
- Quarterly

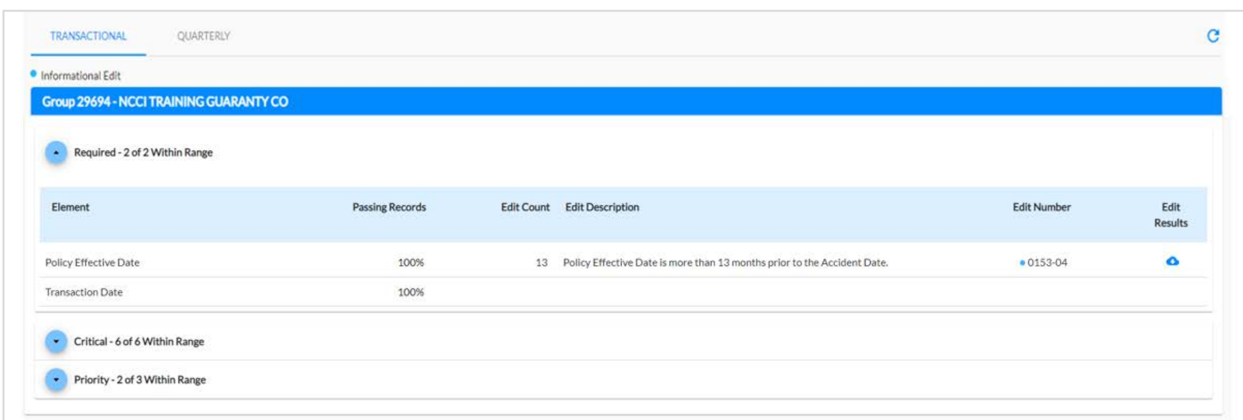
These results are similar to the **Quality Tracking Edit Results—Details** in the Submission Report; however, this screen displays the aggregated results for the Carrier Group including all data submitted to date for the applicable reporting quarter/year selected at the top of the screen.

In addition, the aggregated results are displayed separately for each data provider that reports directly to NCCI on behalf of the Carrier Group at the bottom of the screen.



❖ Note that only users under the Carrier Group will be able to view the aggregate results for the Carrier Group and all data providers because the timeliness, completeness, and quality of the data are the responsibility of the Carrier Group.

Click the blue button with the black arrow (to the left of the element category) to expand the summary row to view detailed information for each element and the associated edit results.



Quality Tracking Edit Results—Details

For each category, you will see the following:

- **Element**—displays the element name in alphabetical order.
- **Passing Records**—displays the number of records that did not receive an edit for that element divided by the number of records submitted as a percentage.
- **Edit Count**—displays the count of occurrences of an edit.
- **Edit Description**—describes why the element received an edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is in Part 9 of the ***Indemnity Data Call Reporting Guidebook*** in the **Manuals Library**.
- **Edit Results**—provides a file to download containing the edit details.

This grid will always display the category and elements in the same order to provide for consistent viewing. Any Passing Record below the prementioned threshold will be displayed in red. The count of each element that is equal to or greater than the threshold will be considered *Within Range* for its applicable category and is what determines the summary results.

Informational Edits

At the top left of the grid, you will see a legend with a blue dot and the words "Informational Edit." Some elements may have these edits, which are identified to the left of the Edit Number by a blue dot. These edits are **not** included in the Passing Records percent. Informational Edits are not considered important enough on their own to be counted towards a future compliance program. Their purpose is for you to monitor their occurrences because they could indicate a larger quality issue. We recommend that you review your data to see if it warrants a correction in your system.

Downloading Edit Results

A downloadable CSV file is available by clicking the blue download icon to view which records were impacted by each edit. After clicking the download icon, the CSV file will appear at the bottom of the screen, displaying the progress of the download. The download duration time will vary depending on the size of the file. The tool may still be used while the download is in progress. Once the download is complete, the CSV file will contain the key fields for each of the claims impacted, along with all necessary elements. The claims should be reviewed to determine whether any corrections to the source system are necessary.

❖ The number of records within this file may be less than the amount displayed on the screen due to subsequent file submissions that may either cancel or replace the prior record, thereby eliminating the edit.

No Quality Tracking Results

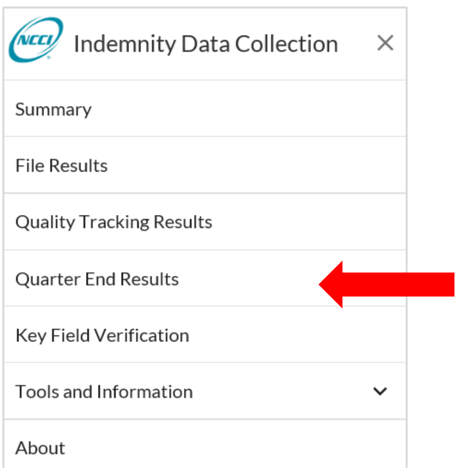
There may be instances when the summary results display N/A for each category. When you expand the summary, it displays this message: **Results are not displayed as there are no records available to run Quality Tracking edits against.** This could indicate that either all the records you submitted in the file were returned or the file you submitted may have included only Cancellation records.

Quarter End Results

The purpose of the Quarter End Results is for you to gauge the completeness and quality of the data you've reported. This stage of editing compares the two record types (Transactional and Quarterly) to each other and looks at the progression of individual claims in comparison to prior quarterly versions of themselves now that they have passed the File Acceptance, Record Acceptance, and Quality Tracking stages of editing.

❖ Note that only users under the Carrier Group will be able to access the Quarter End Results option in the main menu because the timeliness, completeness, and quality of the data are the responsibility of the Carrier Group.

To access the Quarter End Results section, click the main menu icon and select **Quarter End Results**.



The Quarter End Results will be updated after each file submission, based on the data submitted within the reporting quarter by the due date. If data is submitted after the due date, the Quarter End Results will not be updated.

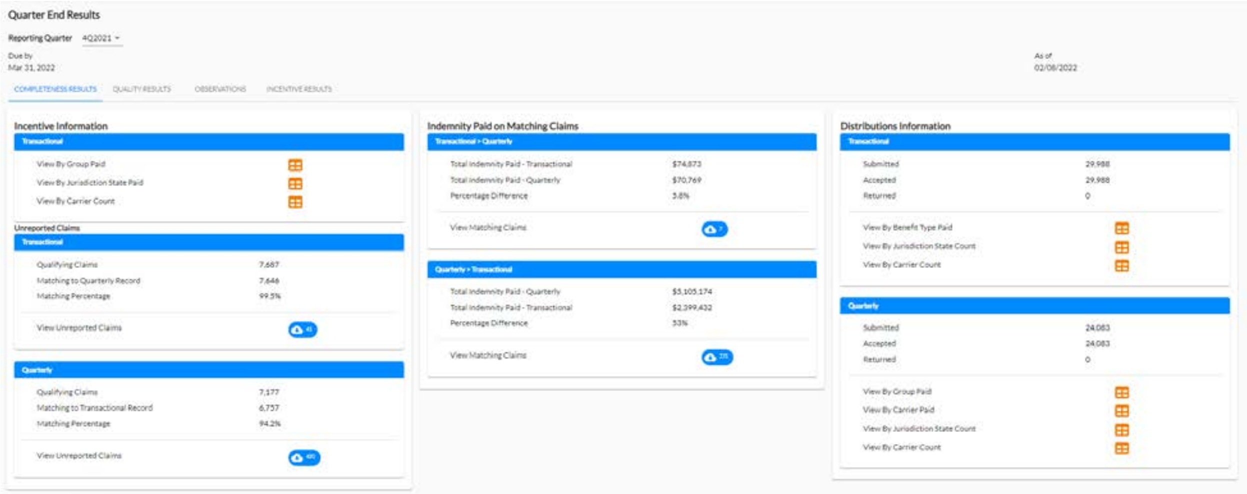
The Quarter End Results screen is divided into four sections:

- Completeness Results (default)
- Quality Results
- Observations
- Incentive Results

Completeness Results

The Completeness Results screen is divided into the following sections:

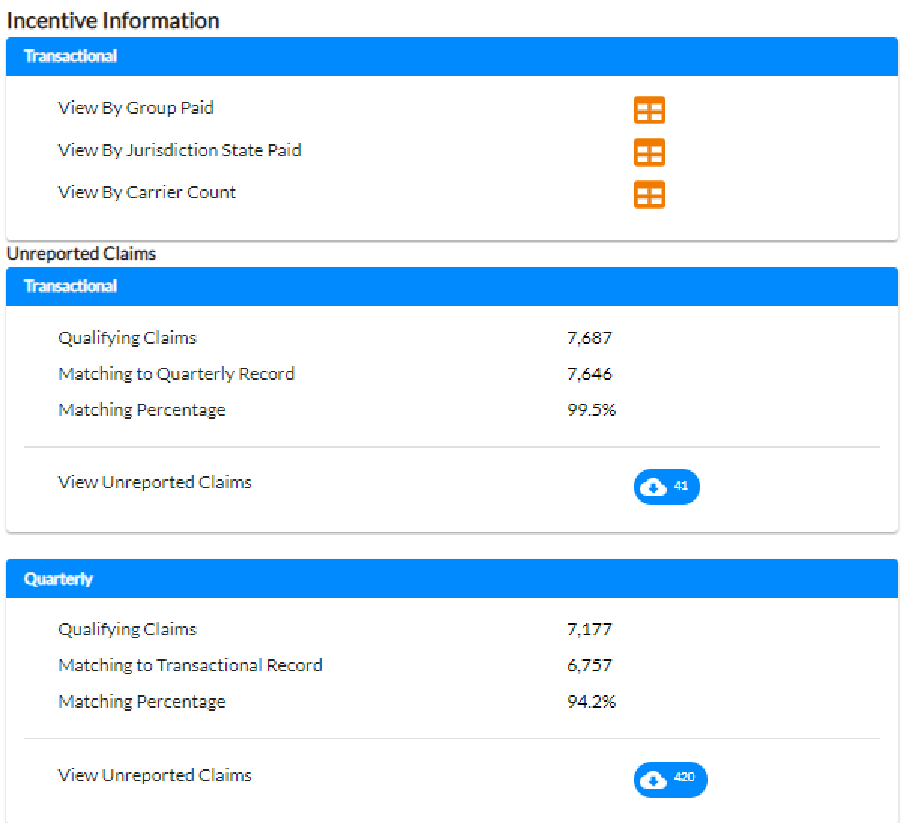
- Incentive Information
- Unreported Claims
- Indemnity Paid on Matching Claims
- Distributions Information



Incentive Information

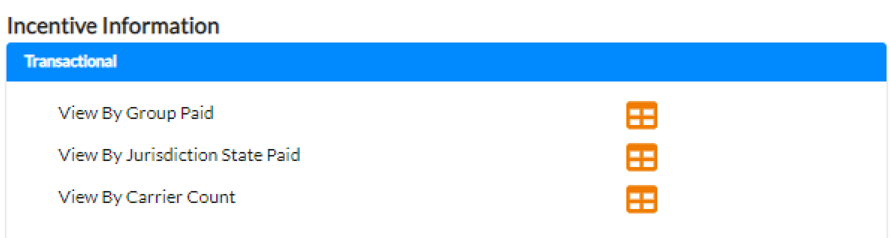
The purpose of this section is to display the Completeness results evaluated as part of the Indemnity Incentive Program for each of the following categories:

- Category 1—Group
- Category 2—State
- Category 3—Carrier
- Category 4—Unreported Transactional Claims
- Category 5—Unreported Quarterly Claims



Transactional

The purpose of this section is to display the indemnity paid losses reported for the quarter, in comparison to the estimated expected indemnity paid losses (Completeness Category 1–3) by clicking the grid icon, which will display the details for each category. The estimated expected indemnity paid losses are derived from the Direct Paid Losses reported on the most recent NAIC Annual Statement.



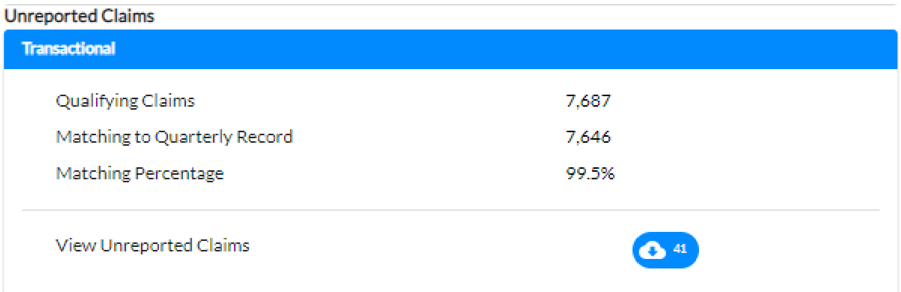
Unreported Claims

The purpose of this section is to display the count and percentage of all qualifying claims that have both a Transactional record and Quarterly record in the current reporting quarter. Matching a claim is based on the unique key fields reported for the quarter on both the Transactional record and Quarterly record. An "unreported" claim is one where no match is found for either the Transactional record or the Quarterly record.

This section also provides the option to view the claims that were not reported with a matching record for both record types. A downloadable CSV file is available by clicking the blue icon. The number displayed within the blue icon represents the total number of unreported claims for the record type.

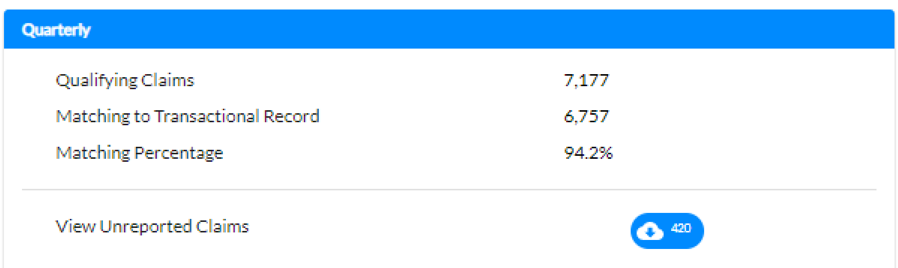
Transactional

The purpose of this subsection is to display the count and percentage of matching claims for all qualifying claims reported with a Transactional record. The percentage is based on the count of matching claims in comparison to the count of qualifying claims.



Quarterly

The purpose of this section is to display the count and percentage of matching claims for all qualifying claims reported with a Quarterly record. The percentage is based on the count of matching claims in comparison to the count of qualifying claims.



Downloading Unreported Claims

A downloadable CSV file is available by clicking the blue download icon next to View Unreported Claims. After clicking the download icon, the CSV file will appear at the bottom of the screen, displaying the progress of the download. The download duration time will vary depending on the size of the file. The tool may still be used while the download is in progress. Once the download is complete, the CSV file will contain the key fields for each of the claims impacted. The claims should be reviewed to identify the reason for the unreported claim and to determine whether any corrections to the source system are necessary.

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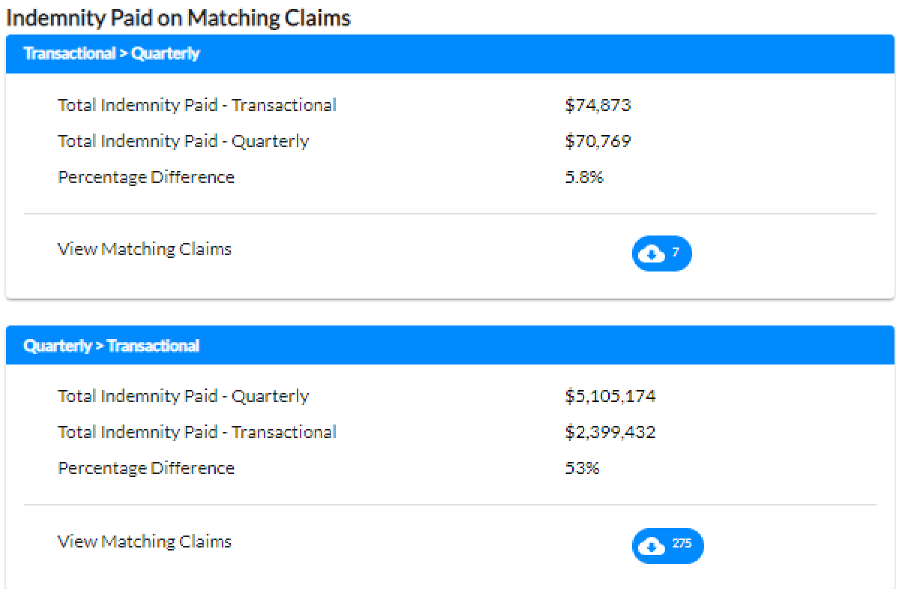
29694 - NCCI TRAINING GUARANTY CO
Transactional Claims with Unreported Matching Claims on the Quarterly Record - Download 2021Q4 - 01/14/2022 03:38:09 PM

Data Provi	Carrier Cod	Policy Num	Policy Effective	Claim Num	Accident Date	Current Qtr Trans Paid Amt
29694	29694	IDCPOL380	4/16/2019	IDCCLAIMA	11/14/2019	350000
29694	29694	IDCPOL651	6/28/2020	IDCCLAIMA	7/17/2020	120000
29694	29694	IDCPOL348	6/6/2019	IDCCLAIMA	10/2/2019	125000
29694	29694	IDCPOL929	10/9/2019	IDCCLAIMA	2/25/2020	70000

Indemnity Paid on Matching Claims

The purpose of this section is to display the Total Indemnity Paid reported on the claims with both Transactional records and Quarterly records submitted. Matching claims are based on the unique key fields (identified in the Unreported Claims section).

The claims and dollar amounts shown are for claims where the Total Indemnity Paid on the Transactional records is greater than the Total Indemnity Paid on the Quarterly record for the same claims and vice versa. The percentage difference is the ratio of the dollar difference between the two record types and the Total Indemnity Paid on the Quarterly record.

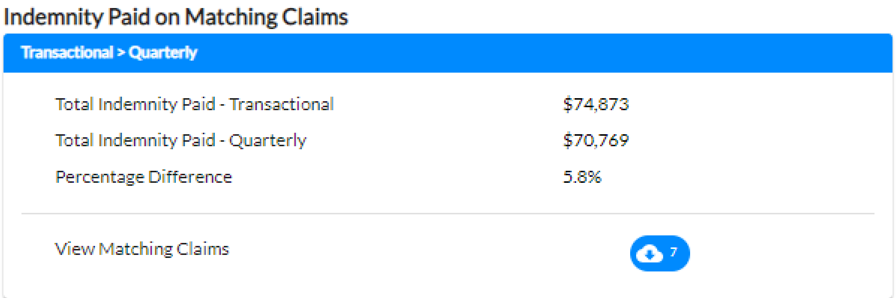


This section also provides the option to view the matching claims that were reported with a dollar difference between both the Transactional record and Quarterly record. A downloadable CSV file is available by clicking the blue cloud download icon. The number displayed represents the total number of unreported claims.

Note: Click **CLOSE** at the bottom right of the pop-up box to close the grid.

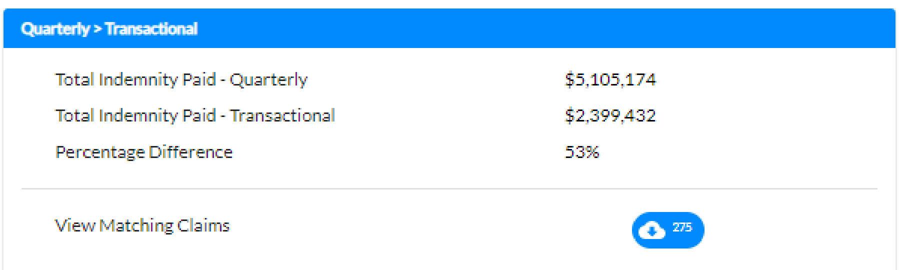
Transactional > Quarterly

This section displays the difference of the Total Indemnity Paid dollars reported on the Transactional records in comparison to the Total Indemnity Paid dollars reported on the Quarterly records between the current and a prior reporting quarter. This shows claims where the Total Indemnity Paid on the Transactional records was greater than the Total Indemnity Paid on the Quarterly records for the same claim.



Quarterly > Transactional

This section displays the difference of the Total Indemnity Paid dollars reported on the Quarterly records in comparison to the Total Indemnity Paid dollars reported on the Transactional records between the current and a prior reporting quarter. This shows claims where the Total Indemnity Paid on the Quarterly records was greater than the Total Indemnity Paid on the Transactional records for the same claim.



Downloading Indemnity Paid on Matching Claims

A downloadable CSV file is available by clicking the blue cloud download icon next to View Matching Claims. After clicking the download icon, the CSV file will appear at the bottom of the screen, displaying the progress of the download. The download duration time will vary depending on the size of the file. The tool may still be used while the download is in progress. Once the download is complete, the CSV file will contain the key fields for each of the claims impacted. The claims should be reviewed to identify the reason for the dollar difference between both record types and to determine whether any corrections to the source system are necessary.

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Matching Claims Quarterly 2021Q2 - 01/14/2022 10:37:17 AM

Data Provi	Group Coc	Carrier Code	Jur State	Policy Num	Policy Eff Date	Claim Numl	Acc Date	Current Qtr	Prior Qtr	Prior Rpt Qtr	Prior Rpt Yr	Current Qtr	Current Qtr	Subro	Difference	% Diff
29694	29694	29694	54	IDCPOL380	6/30/2012	IDCCLAIMA	3/6/2013	445011	431000	1	2021	14011	5570.05	0	8440.95	60.2
29694	29694	29694	2	IDCPOL651	1/1/2007	IDCCLAIMA	6/5/2007	178609	173809	1	2021	4800	2400.12	0	2399.88	50
29694	29694	29694	2	IDCPOL348	7/1/2003	IDCCLAIMA	3/8/2004	154997	153003	1	2021	1994	997.08	0	996.92	50
29694	29694	29694	2	IDCPOL929	1/1/2006	IDCCLAIMA	4/10/2006	125987	123376	1	2021	2611	1305.44	0	1305.56	50
29694	29694	29694	6	IDCPOL241	9/15/1974	IDCCLAIMA	12/11/1974	305242	310894	1	2021	-5652	-12437.29	0	6785.29	-120

Indemnity Paid on Matching Claims is determined as follows:

For each claim that exists on both record types (Transactional and Quarterly) for the reporting quarter:

- Quarterly Records Total Indemnity Paid is equal to the difference between the Indemnity Paid-To-Date amount reported on the prior quarter and the current quarter
- Transactional Records Total Indemnity Paid is equal to the sum of the Transaction Amount reported on all the Transactional records for the current quarter

The following may be observations for review when a dollar difference is identified between both record types:

Total Transactional Paid Amount > Quarterly Difference (Transactional > Quarterly)
These are claims where the difference in the Indemnity Paid-To-Date between the current and prior quarter QTRLY records is less than the sum of Transactional payments submitted for the current quarter. This will also include claims where there is no prior Quarterly record, but where the Accident Date or Reported to Insurer Date is in the same quarter and the PTD amount is less than the sum of Transactional payments submitted for the current quarter.

Possible reasons for the occurrence:

- Indemnity Paid-To-Date field on the Quarterly record only contains the amount paid for the quarter, and not the total of all payments to date (from inception to valuation date)
- Voids/credits are not reported correctly using Option 1 or Option 2
- Quarterly record does not include the Transaction Amount for all the Transactional records with Transaction Dates within the quarter
- Claim Valuation Date used to derive the Indemnity Paid-To-Date of the Quarterly record is not accurately representing the actual quarter (e.g., 3rd Quarter Quarterly record valued as of September 30 includes all transactions from July 1 through September 30)

Quarterly Difference > Total Transactional Paid Amount (Quarterly > Transactional)
These are claims where, on a per-claim basis, the difference in the Indemnity Paid-To-Date between the current and prior quarter Quarterly records is greater than the sum of Transactional payments submitted for the current quarter.

Additionally, claims where the current Quarterly Indemnity Paid-To-Date amount is greater than the sum of the Transaction Amount for the current Transactional records are shown.

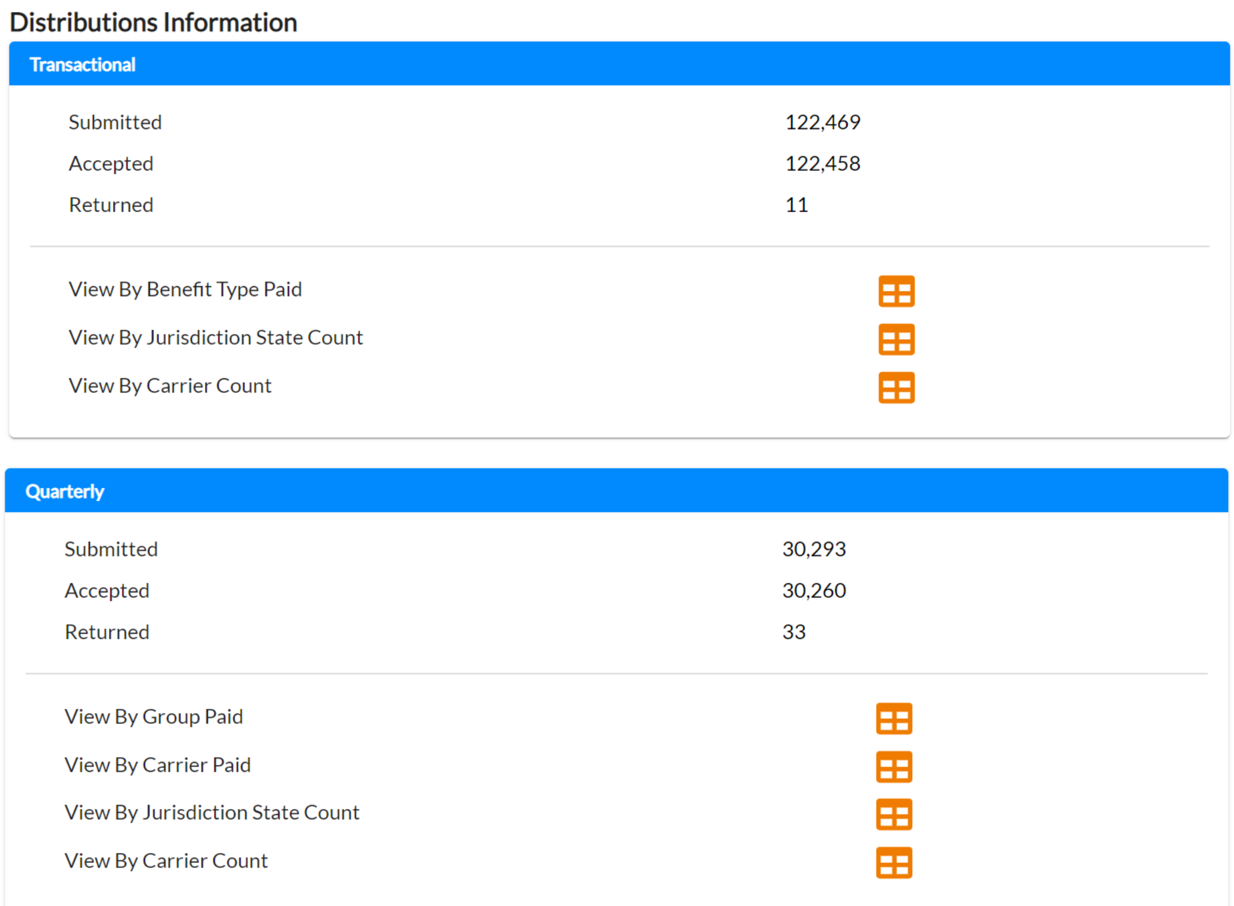
Possible reasons for the occurrence:

- Missing current Transactional records based on the date of injury (i.e., Accident Date or Reported to Insurer Date), which occurred within the current quarter (new or existing claims)
- Claim Valuation Date used to derive the Indemnity Paid-To-Date of the Quarterly record is not accurately representing the actual quarter (e.g., 3rd Quarter Quarterly record valued as of September 30 includes all transactions from July 1 through September 30)
- Overstating Indemnity Paid-To-Date on Quarterly records (e.g., Indemnity Paid-To-Date incorrectly formatted with dollars and cents instead of rounded to the nearest whole dollar)

Distributions Information

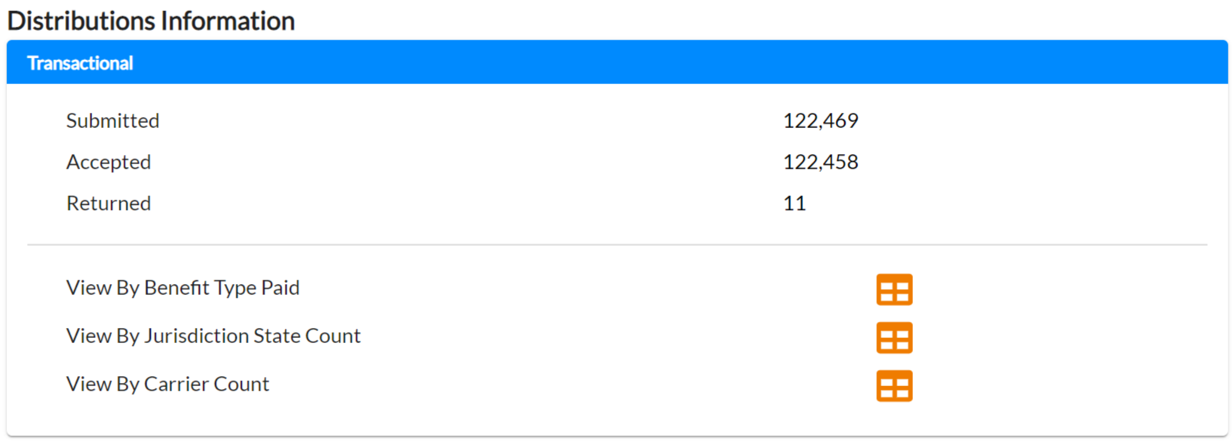
The purpose of this section is to display the count of all records submitted, accepted, and returned on both record types. You have the option to drill down further to view the breakout of your accepted records for the reporting quarter by clicking the grid icon, which will display the details for each category.

Note: Click **CLOSE** at the bottom right of the pop-up box to close the grid.



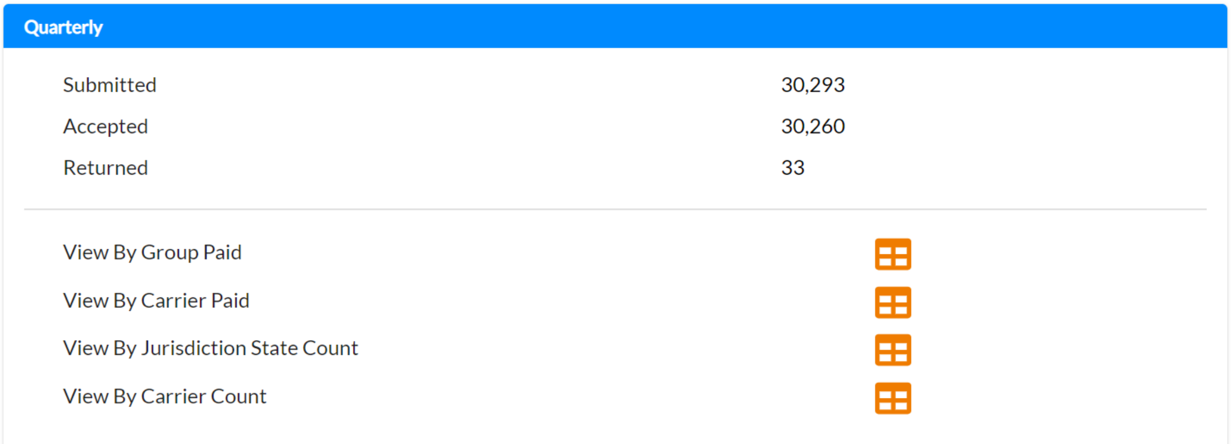
Transactional

This section displays the count of all records submitted, accepted, and returned on the Transactional records. To view the details for the count by Benefit Type Code, Jurisdiction State Code, or Carrier Code, click the grid icon to display the details for each category.



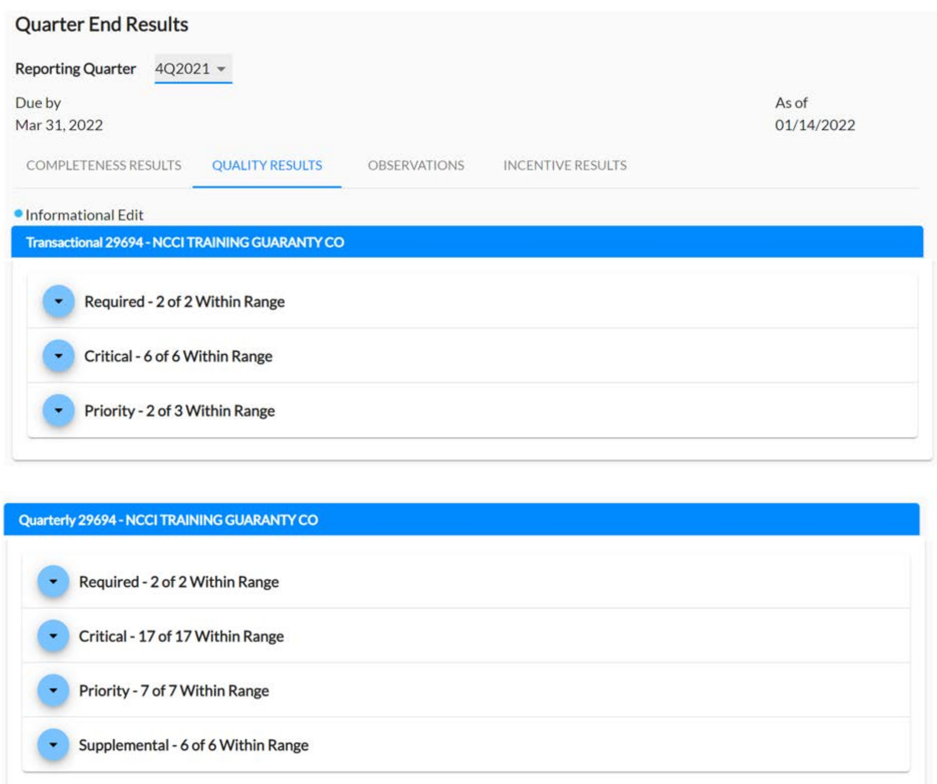
Quarterly

The purpose of this section is to display the Total Indemnity Paid (less Subrogation Recoveries) for the Quarterly records reported within the quarter. You have the option to drill down further by the Benefit Type Code, by Carrier, or by the Jurisdiction State reported.



Quality Results

The purpose of this section is to display the results of the Quality Tracking edits, as well as the additional Quarter End edits. This stage of editing checks the population and validity of the remaining elements, in addition to their reasonability.



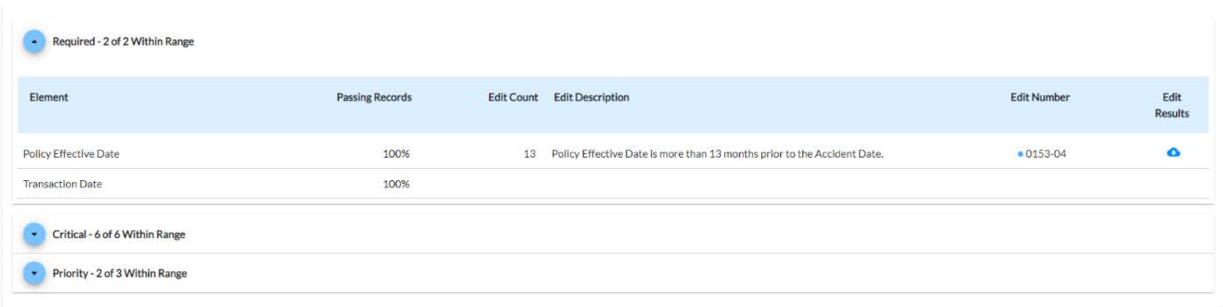
The Quality Results are similar to the Quality Tracking Results screen; however, they are aggregated at the Carrier Group level and not at each individual data provider level. They also include additional Quarter

End edits. These additional edits are intended to compare the two record types (Transactional and Quarterly) to each other. They also look at the progression of individual claims in comparison to prior quarterly versions of the same claim after passing the File Acceptance, Record Acceptance, and Quality Tracking stages of editing. Refer to the Edit Matrix in Part 9 of the ***Indemnity Data Call Reporting Guidebook*** in the **Manuals Library** for details on each of the edits.

The Quality Results screen is divided into two sections, one for each record type:

- Transactional—at the top of the screen
- Quarterly—below the Transactional section

Click the blue button with the black arrow (to the left of the element category) to expand the summary row to view detailed information for each element and the associated edit results.



Required - 2 of 2 Within Range

Element	Passing Records	Edit Count	Edit Description	Edit Number	Edit Results
Policy Effective Date	100%	13	Policy Effective Date is more than 13 months prior to the Accident Date.	• 0153-04	
Transaction Date	100%				

Critical - 6 of 6 Within Range

Priority - 2 of 3 Within Range

For each category, you will see the following:

- **Element**—displays the element name in alphabetical order.
- **Passing Records**—displays the number of records that did not receive an edit for that element divided by the number of records submitted as a percentage.
- **Edit Count**—displays the count of occurrences of an edit.
- **Edit Description**—describes why the element received an edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is in Part 9 of the ***Indemnity Data Call Reporting Guidebook*** in the **Manuals Library**.
- **Edit Results**—provides a file to download containing the edit details.

This grid will always display the category and elements in the same order to provide for consistent viewing. Elements with a Passing Records percentage below the threshold will be displayed in red. The count of each element that is equal to or greater than the threshold will be considered *Within Range* for its applicable category and will be displayed in the summary results on the Incentive Results screen.

Informational Edits

At the top left of the grid, you will see a legend with a blue dot and the words "Informational Edit." Some elements may have these edits, which are identified to the left of the Edit Number by a blue dot. These edits are **not** included in the Passing Records percent. Informational Edits are not considered important enough on their own to be counted towards a future compliance program. Their purpose is for you to monitor their occurrences because they could indicate a larger quality issue. We recommend that you review your data to see if it warrants a correction in your system.

Downloading Edit Results

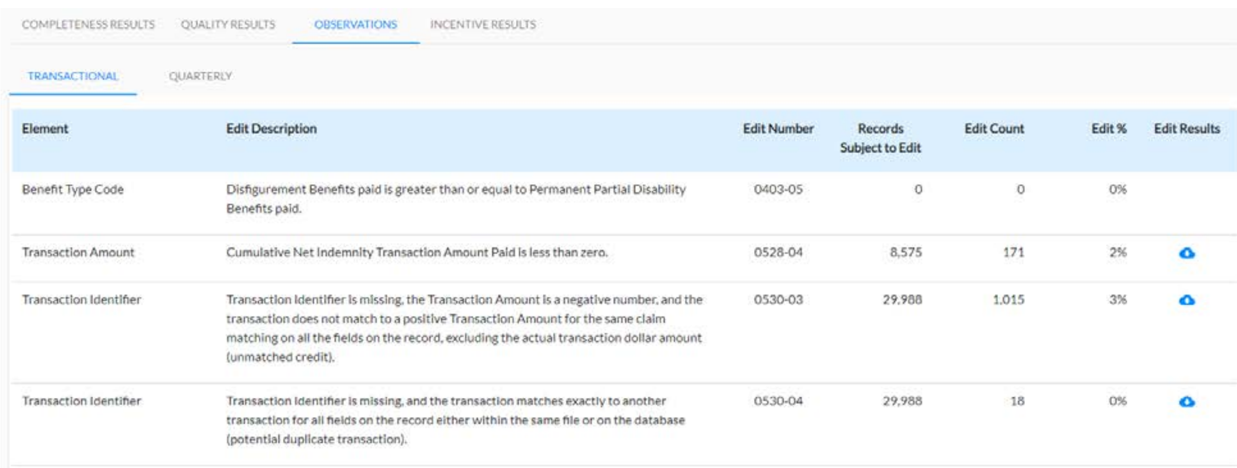
A downloadable CSV file is available by clicking the blue cloud download icon to view which records were impacted by each edit. After clicking the download icon, the CSV file will appear at the bottom of the screen, displaying the progress of the download. The download duration time will vary depending on the size of the file. The tool may still be used while the download is in progress. Once the download is complete, the CSV file will contain the key fields for each of the claims impacted, along with all necessary elements. The claims should be reviewed to determine whether any corrections to the source system are necessary.

❖ The number of records within this file may be less than the amount displayed on the screen due to subsequent file submissions that may either cancel or replace the prior record, thereby eliminating the edit.

There may be instances when the summary results display N/A for each category. When you expand the summary, it also displays this message: **Results are not displayed as there are no records available to run Quality Tracking edits against.** This could indicate that either all the records you submitted in the file were returned or the file you submitted may have only included Cancellation records.

Observations

The purpose of this section is to display additional observations to help capture specific trends and potential issues with your data. To access the Quarter End Observations section, click the main menu and select **Quarter End Results**, and then select the **Observations** tab. There are two tabs you can select from to review results: the Transactional record types and Quarterly record types. The default tab is for the Transactional records.


COMPLETENESS RESULTS QUALITY RESULTS OBSERVATIONS INCENTIVE RESULTS

TRANSACTIONAL QUARTERLY

Element	Edit Description	Edit Number	Records Subject to Edit	Edit Count	Edit %	Edit Results
Benefit Type Code	Disfigurement Benefits paid is greater than or equal to Permanent Partial Disability Benefits paid.	0403-05	0	0	0%	
Transaction Amount	Cumulative Net Indemnity Transaction Amount Paid is less than zero.	0528-04	8,575	171	2%	
Transaction Identifier	Transaction Identifier is missing, the Transaction Amount is a negative number, and the transaction does not match to a positive Transaction Amount for the same claim matching on all the fields on the record, excluding the actual transaction dollar amount (unmatched credit).	0530-03	29,988	1,015	3%	
Transaction Identifier	Transaction Identifier is missing, and the transaction matches exactly to another transaction for all fields on the record either within the same file or on the database (potential duplicate transaction).	0530-04	29,988	18	0%	

This screen displays the following information:

- **Element**—identifies which element received an edit
- **Edit Description**—describes why the element received an edit
- **Edit Number**—identifies the associated edit number that corresponds to the edit description
- **Records Subject to Edit**—represents the number of records subject to the edit for the quarter selected
- **Edit Count**—displays the count of occurrences of the edit
- **Edit %**—displays the count of occurrences of the edit as a percentage based on the Edit Count divided by Records Subject to Edit

- **Edit Results**—provides a downloadable CSV file containing the edit details

These observations indicate situations that may occur on individual claims, but in large quantities, they may indicate possible quality issues. Refer to the Edit Matrix in Part 9 of the ***Indemnity Data Call Reporting Guidebook*** in the **Manuals Library**.

Downloading Edit Details

A downloadable CSV file is available by clicking the blue cloud download icon to view which records were impacted by each edit. After clicking the download icon, the CSV file will appear at the bottom of the screen, displaying the progress of the download. The download duration time will vary depending on the size of the file. The tool may still be used while the download is in progress. Once the download is complete, the CSV file will contain the key fields for each of the claims impacted, along with all necessary elements. The claims should be reviewed to determine whether any corrections to the source system are necessary.

❖ The number of records within this file may be less than the amount displayed on the screen due to subsequent file submissions that may either cancel or replace the prior record, thereby eliminating the edit.

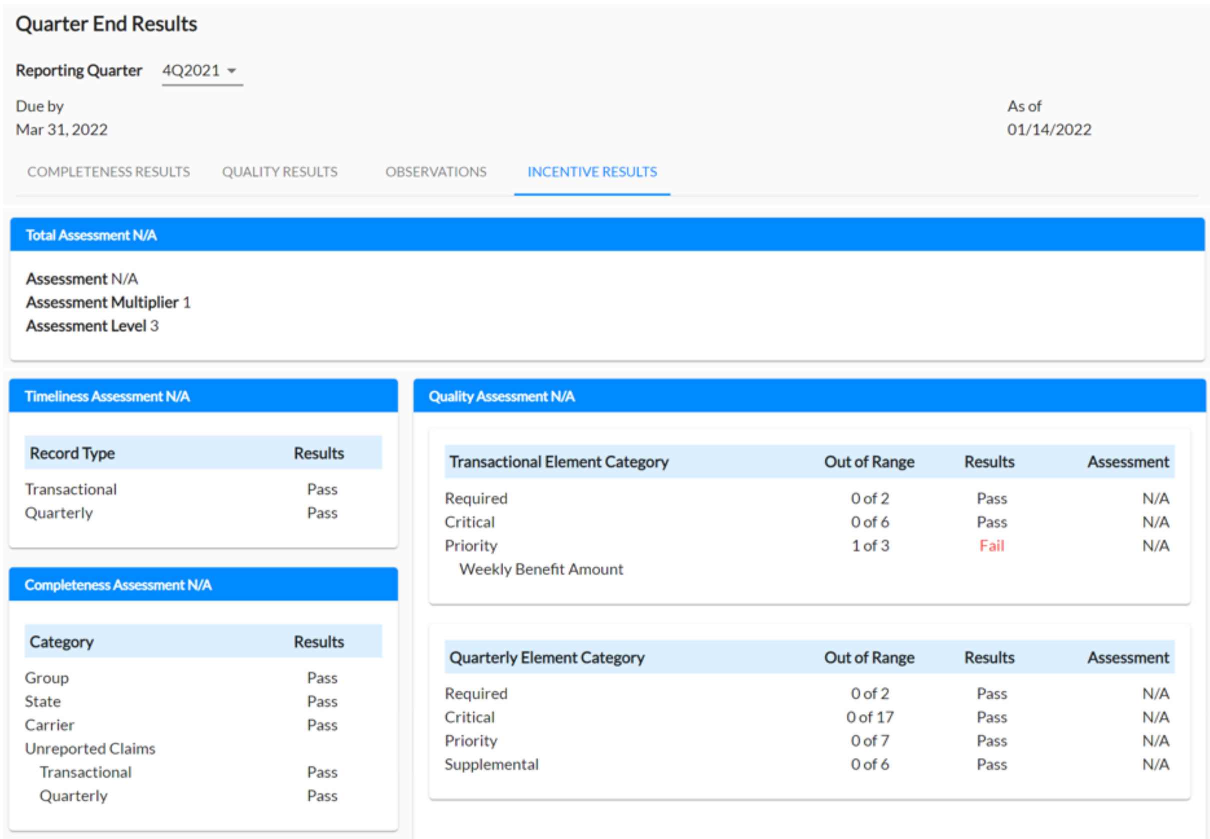
Incentive Results

The purpose of this section is to display the total assessments for the reporting quarter, including a summary of the final Quarter End Results with the associated assessment for each component.

The Incentive Results will be updated after each file submission, based on the data submitted within the reporting quarter.

The Incentive Results screen is divided into four sections:

- Total Assessment
- Timeliness Assessment
- Completeness Assessment
- Quality Assessment



Note: The above example displays N/A in the Assessment column due to the preview period applicable for the reporting quarter.

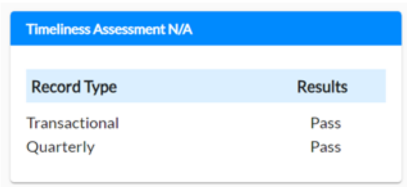
Total Assessment

This section displays the total dollar amount for the Timeliness assessment or the summarized assessments for the Completeness and Quality components. This section also displays the assessment multiplier and assessment level.

The Assessment Multiplier is the factor used to calculate the total assessment (Assessment x Assessment Multiplier). This factor will increase (greater than 1) if a Carrier Group has received assessments for three or more consecutive quarters. The multiplier will be applied to the Assessment amount. The Assessment Level is based on the Carrier Group's market share using the most current annual NAIC Direct Written Premium in the NCCI Indemnity Data Call states. Refer to the ***Data Quality Guidebook***, Part 2, Section G.3 for additional details.

Timeliness Assessment

This section displays the total dollar amount for the Timeliness assessment and the results for both record types.



Note: If the Timeliness assessment is applied, an additional assessment will **not** be applied to the Completeness and Quality components. However, these two components will still be evaluated, and the results will be displayed in the tool.

The Timeliness Component criteria ensure that each Carrier Group has reported complete Transactional and Quarterly Indemnity data by the due date. If a Transactional file and/or a Quarterly file has been reported by the due date, then the results will be displayed as "Pass" next to the applicable record type.

If a Transactional or Quarterly file, has **not** been reported by the due date, then the results will be displayed as "Fail" next to the applicable record type.

For a record type to pass, it must include at least **one** file that has been successfully processed. To determine whether all files were submitted and processed successfully, click the Timeliness Assessment link (in the blue section) to view the File Results screen.

Completeness Assessment

This section displays the results for each of the following categories:

- Category 1—Group
- Category 2—State
- Category 3—Carrier
- Category 4—Unreported Transactional Claims
- Category 5—Unreported Quarterly Claims

The Completeness Component criteria ensure that a Carrier Group has reported complete Transactional and Quarterly Indemnity data by the due date. If the criteria are met for each category by the due date, then the results will be displayed as "Pass" next to the applicable category.

If the criteria are not met for each category by the due date, then the results will be displayed as "Fail" next to the applicable record type.

To review the details for each of these categories, click the Completeness Assessment link (in the blue section) to view to the Quarter End Results screen.

Quality Assessment

This section displays the results for each of the following element categories for each record type:

- Required
- Critical
- Priority
- Supplemental (Quarterly record only)

The element categories will be displayed with the number of elements out of range (by category), the results and assessment for each element category. However, you will only see individual elements displayed for each element category if they did **not** meet or exceed the threshold.

The Quality Component criteria ensure that each Carrier Group has reported quality Indemnity data at the element level by the due date. If the criteria are met for each category by the due date, then the results will be displayed as "Pass" next to the applicable element category.

If the criteria are not met for each category by the due date, then the results will be displayed as "Fail" next to the applicable record type.

For a category to be considered passing, all elements within the category must meet or exceed the threshold. To review the details for each of the elements, click the Quality Assessment link (in the blue section) to view the Quality Results screen.

Key Field Verification

The purpose of this screen is to match specific key fields from production indemnity records submitted to these same key fields in comparison to the Policy data and Unit Statistical data to ensure that the key fields are being reported consistently across the three data types. The purpose of this screen is to display the percentage found specific key fields from the Indemnity Data Call matching the same key fields on the Policy data and Unit Statistical data submitted for the Carrier Group. This screen includes records for production (TXT) files only. For individual file results for both Certification (TST) and Production files, please refer to the Submission Report section of this User's Guide.

❖ Note that only users under the Carrier Group will be able to access the Quarter Key Field Verification option in the main menu because the timeliness, completeness, and quality of the data are the responsibility of the Carrier Group.

To access the Key Field Verification screen, click the main menu icon and select Key Field Verification.

The comparison to the Indemnity data includes four sets of parameters consisting of two for Policy data and two for Unit Statistical data. The sets of parameters are as follows:

Policy Data

- Carrier Code and Policy Number
- Carrier Code, Policy Number, and Policy Effective Date

Unit Statistical Data

- Carrier Code, Policy Number, and Policy Effective Date
- Carrier Code, Policy Number, Policy Effective Date, and Claim Number

The statistics are calculated for the four sets of parameters and will be aggregated and displayed within this screen. The results will be updated each time a Transactional or Quarterly file is submitted to NCCI based on all claims as of the inception of the Call to date.

For the comparison to Policy data, NCCI will match the key fields between the two data types for policies up to 48 months old, based on the Policy Effective Date of the claim submitted on the Indemnity Data Call. If the claim is from a policy older than 48 months, NCCI will not try to match it to the Policy data.

For the comparison to Unit Statistical data, NCCI will match the key fields between the two data types for policies that are between 21 and 48 months old, based on the Policy Effective Date of the claim submitted on the Indemnity Data Call. NCCI chose 48 months for the same reason as the Policy data comparison and 21 months to ensure that the Unit Statistical data had ample time to be submitted.

The Key Field Verification screen displays the following information (from left to right):

- **Data Type**—identifies which data type comparison the parameters and results are being derived from
- **Verification Parameters**—displays the combination of key fields that are being used in the comparison
- **Key Fields Reviewed**—indicates the number of unique key field combinations that were used in the comparison
- **Key Fields Found**—shows the number of unique key field combinations that were found in the comparison
- **Percentage Found**—displays Key Fields Found / Key Fields Reviewed as a percentage
- **Key Fields Not Found**—provides a file to download containing the details of the key fields not found

Key Field Verification

Data is refreshed with each file submission.

Last Refresh 02/01/2022

Data Type	Verification Parameters	Key Fields Reviewed	Key Fields Found	Percentage Found	Key Fields Not Found
Policy	Carrier Code, Policy Number	32,552	32,340	99%	212
Policy	Carrier Code, Policy Number, Policy Effective Date	32,552	32,340	99%	212
Unit	Carrier Code, Policy Number, Policy Effective Date	14,269	14,032	98%	237
Unit	Carrier Code, Policy Number, Policy Effective Date, Claim Number	14,269	13,846	97%	423

Downloading Key Fields Not Found

A downloadable CSV file is available by clicking the blue cloud download icon to view which records were impacted by each edit. After clicking the download icon, the CSV file will appear at the bottom of the screen, displaying the progress of the download. The download duration time will vary depending on the size of the file. The tool may still be used while the download is in progress. Once the download is complete, the CSV file will contain the key fields for each of the claims impacted, along with the Data Type, Verification Parameters, and Policy Effective Date Range. The claims should be reviewed to determine whether any corrections to the source system are necessary.