



Key Takeaways

- Importance of the electronic file reporting process
- Reporting rules are in place for all report types
- Reading data files helps with troubleshooting edits

There are two methods for reporting your data to NCCI: electronically using data files or manually using the *Unit Data Collection* tool.

Chapter 1: Overview

Overview of Unit Statistical Data

- Unit Statistical Data is composed of audited exposure, premium, and loss information after the policy has expired
- Reported separately for each state on the policy
- Reported in accordance with the ***Statistical Plan Manual***
- Three types of units can be reported:
 - 1st Reports
 - Subsequent Reports (2nd–10th)
 - Correction Reports for revisions

Big Picture for Prepping Your Submissions

- Identify the units that need to be reported
- Create your unit file according to rules and specifications
- Pre-edit your data file
- Make any corrections to pre-edited file
- Submit the file

Manuals

Manual	Purpose	Location
Statistical Plan	Rules and requirements including code values for reporting Unit Statistical Data for all NCCI states	Manuals Library
Unit Statistical Reporting Guidebook	Examples of how your data should be put together	Manuals Library
Electronic Transmission User's Guide	A to Z of creating, testing, submitting, and receiving data files to and from NCCI	Manuals Library
WCIO Workers Compensation Data Specifications Manual (WCIO Manual)—WCSTAT	Standard formats, specifications, and record layouts for your electronic transmissions	General Reporting Page on ncci.com > Resources Link



Tip: Use *WCIO Manual* and *Statistical Plan* in tandem because WCIO provides specifications for NCCI states and independent bureaus. The *Statistical Plan* shows you how the element is reported for NCCI states.

WCIO Definitions

Each element will contain information relevant to its use.

- Field Description—provides the element name
- Class—allowable characters include A for Alphabetic, AN for Alphanumeric, and N for Numeric
- Position—where the characters are located in the record
- Bytes—number of characters the field will allow

Messages in the notes let you know when the field is applicable, not applicable, or optional to NCCI.

Tip: Seeing “Not Applicable” is a good signal for you to cross check with the *Statistical Plan* to see how it applies to NCCI states.

Chapter 2: Building Your Data Files

What Makes Up a Unit?

- Data Elements—used to convey small pieces of information about the policy
- Records—rolled up elements representing different components of a policy
- Unit Report—each of the records rolled up in a standard format

Record Types

- Header Record—contains information that applies to the entire policy, such as the type of coverage provided, deductibles, or plan type
- Name Record—includes named insured and additional names on the policy
- Address Record—includes the main address of insured
- Exposure Record—includes classification codes and the corresponding payroll, rates, and premium at audit
- Loss Record—claims reported within that policy term, including incurred and paid amounts
- Total Record—number of records in your file submission
- File Control Record—provides the number of headers and records reported in the file

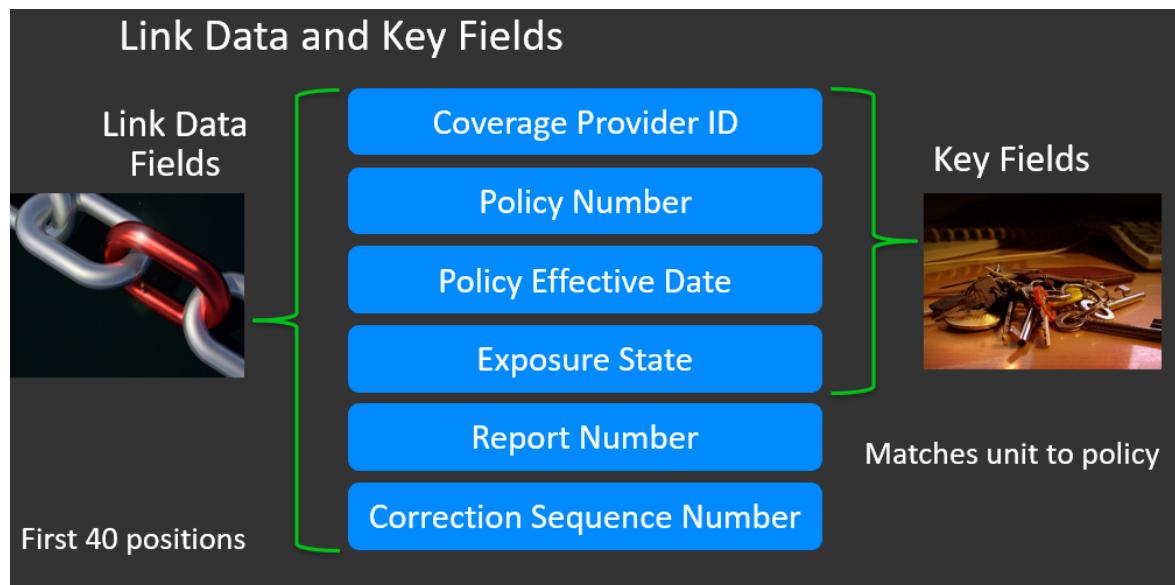
Original and Subsequent Report Requirements

Unit Report Type	Header Record (1)	Name Record (2)	Address Record (3)	Exposure Record (4)	Loss Record (5)	Total Record (6)
1st Reports	Must have only 1	Must have only 1	Optional	Must have at least 1	Required when there are any losses	Optional
Subsequent Reports	Must have only 1	Must have only 1	Optional	None allowed	Must have at least 1	Optional

- Because some record types are optional for NCCI or contingent upon a loss, they do not all need to be included in your original unit report
- Exposure records can only be reported at the 1st report level

Reminder: Exposure records are only allowed on the 1st report, so if you include it on a subsequent report, it will reject.

Link Data and Key Fields



Link Data:

- Links a unit in the file to a unit in NCCI's database or to other units within the same file
- Links correction and subsequent reports across report levels

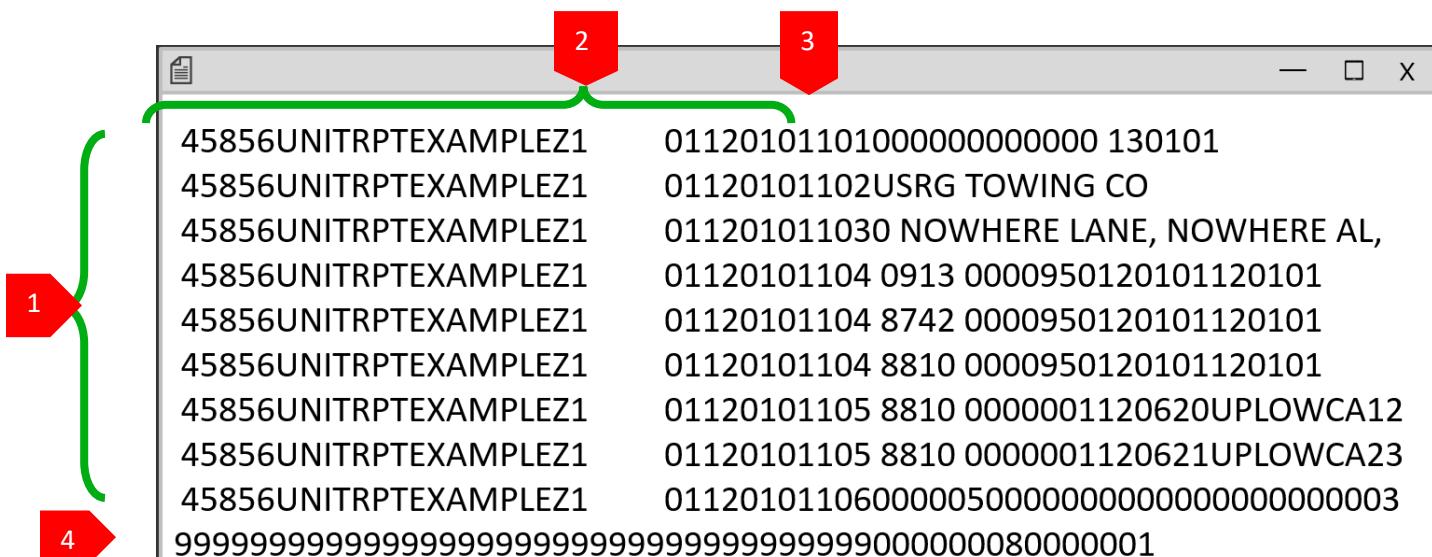


Key Fields:

- Used to match the unit back to the Policy Data
- Must be reported consistently across all unit reports as well as across all data types
- If any key fields don't match a previously reported policy, the unit would be considered "unmatched"

Reminders:

- For NCCI states, you'll receive an edit alerting you that you've reported a unit that doesn't correspond to a policy in our system
- URC also considers the unit associated with the policy to be missing
- Record Type Codes—WCSTAT File



1. Each row of data within a file represents a record 1 through 9
2. Link Data—first 40 positions
3. Record Types are located in position 41
4. Each file must contain only one File Control Record
5. Unit electronic files are 250 bytes.

Record Type Code Details

Record Type	Name of Record	Definition/Use
1	Header	<p>Each unit must contain this record.</p> <p>Counting the number of record type 1s you have in the file will tell you the total number of units in the file.</p>
2	Name	Report the primary insured name as shown on the policy Information page.
3	Address	Insured's Address; Optional Field.



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4	Exposure	Report the audited payroll. Only reported at 1st report level.
5	Loss	Used to report claim information. Must have a matching exposure record.
6	Total	Optional for NCCI states and required for most independent bureaus.
9	File Control	Provides the number of units and records in the file. Only one File Control Record is allowed per file.

As an alternative, you can also use the **Extract Data** feature in the **Unit Data Collection (UDC)** tool to create a baseline file to create subsequent reports.

The screenshot shows the 'Extract Data' feature in the UDC tool. The 'Extract Data' window is open, displaying the following fields:

- Carrier: All My Carriers
- Extract Name: January
- Extract Type: Select... (highlighted with a yellow box and a cursor icon)
- Other options in the Extract Type dropdown: Received Date Range, Policy Eff Month/Year, Admin Nbr

The left sidebar contains the following navigation options:

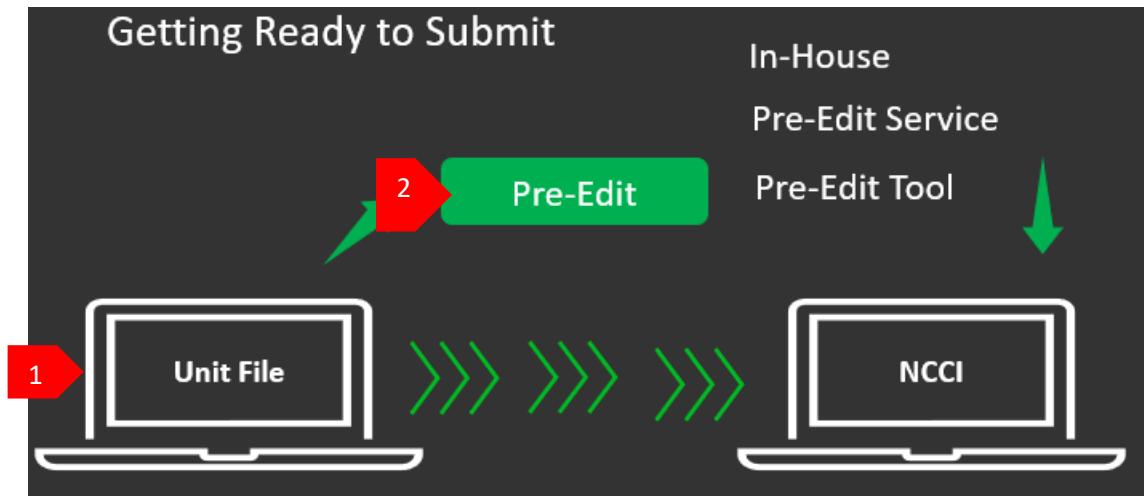
- Manage My Data
- Tools
- Search Units
- Search URC
- Add a Unit
- Print View Queue
- File Tracking
- Pre-Edit Tool
- Data Reports
- Carrier Information
- Validation
- Extract Data (highlighted with a blue box and a cursor icon)
- BCSS Outbound Tracking

Chapter 3: Submitting Your Data

Electronic Certification Testing

- Certification testing ensures smooth receipt and processing of files
- Required for:
 - New data reporters
 - New Third Party Administrators (TPAs)
 - System Changes
- Details of testing criteria and requirements are in the **Electronic Transmission User's Guide**

Getting Ready to Submit



Once you have access to submit Unit Data files, you have a choice on how to send your data.

1. Send your data directly to production
2. Run your file through some form of pre-editing to identify and address any issues before submitting it to production. This is the recommended route:
 - a. In-house—a process your company has created to verify the quality of your data.
 - b. **Unit Pre-Edit Service**—allows you to send a unit file through NCCI edits and we'll send you back a submission results report for you to use to correct the data in your system.
 - c. **Unit Pre-Edit Tool**—allows you to send a unit file through NCCI edits, receive a submission results report, and view and correct the data directly within the tool. This process continues until you're ready to send the data to NCCI. You can choose to submit the units directly to production without having to resubmit a new file.

Submission Options

There are two options for submitting your data files electronically to NCCI.

1. Data Transfer via the Internet (DTVI)
 - Manual online option for reporting data
 - Files sent to NCCI are retained for up to eight calendar days
 - Files sent from NCCI are retained for up to 120 days
 - User who sent the file is notified via email when the file is received and processed
 - User ID setup required
2. Secure FTP Software
 - Automates your file submissions
 - Defines directories to retrieve and store files
 - Sets up a transmission schedule
 - Email is sent when file is received and processed

Reminders:

- NCCI does not offer Secure FTP Software. Your company is responsible for selecting the software you want to use.
- The Secure FTP Software option requires proper access.
- To get started, you'll need to send in a completed preinstallation questionnaire and go through testing to determine system compatibility and port setup.

Unit File Naming Conventions

Using the proper naming convention for unit file submissions is critical. Use these applicable naming conventions for your unit submissions. The asterisk represents a space for optional characters you can add to the name to make it more descriptive for you to recognize.

Type of File	Naming Convention	Asterisk Usage
Unit Pre-Edit Service	unitpru.*.txt	*Replace with up to 18 additional characters
Unit Pre-Edit Tool	pred250e.*.txt	*Replace with up to 18 additional characters
Unit Production	unit25e**.txt	**Replace with up to 30 additional characters
Unit Certification	unit25e**.tst	**Replace with up to 30 additional characters

Electronic File Workflow





1. Submit your unit file:
Using either ***Data Transfer via the Internet (DTVI)*** or Secure FTP (File Transfer Protocol) software
2. Pass File Submission Edits:
 - Your file goes through a series of File Submission Edits to determine if it meets the general reporting requirements and can be accepted, including:
 - Invalid File Name—Does not follow NCCI naming convention
 - Unauthorized User—User does not have submission access
 - Out of Balance—Incorrect File Control Record counts
 - 80% Duplicate Units—Most units already on NCCI database
 - Invalid Data—Contains invalid characters or the file is empty
 - A new file submission edit was implemented in 2024 that will reject incoming files containing invalid characters including null values. As part of this edit, an email notification will be sent to the file submitter detailing the invalid characters submitted.
 - Invalid Encryption Key—GPG/PGP encryption key invalid
 - Results are communicated to file submitter and are available in the File Tracking Feature in ***DTVI***

File Sorting takes place just before the next stage to ensure we have a match in the system and don't process your data out of order.

File submission edit for invalid characters:

- Implemented in Second Quarter 2024
- When processing your file, if any invalid special character is identified in the file, the entire file will be rejected
- Prevents invalid characters from being loaded to the NCCI database
- Email notification identifies first 20 occurrences and summary count of total

Acceptable characters:

- ASCII printable characters (decimal values 32–127)
- Extended ASCII codes (decimal values 150 and 151)
- Control Characters line feed (decimal value 10)
- Carriage Return (decimal value 13)
- All other ASCII characters are considered invalid and, therefore, unacceptable for processing and will initiate the reject file edit

Note that ASCII tables can easily be found on the Internet.

File Sorting

- Carrier Code
- Policy Number
- State
- Policy Effective Date
- Report Number
- Correction Sequence Number

Used for matching

Used for sorting

3. Pass Quality Edits

- Quality edits verify the quality of individual units within the file
- Front-End Quality Edits—check for validity, accuracy, completeness, and reasonability
- Each edit is described and defined within the Unit Statistical Edit and Validation Matrix located in the ***Unit Statistical Reporting Guidebook (USRG)***
- Unit Submission Results Report contains all edits resulting from your file
- Report is available in three formats: PDF, Excel, and CSV

Unit Data Grades

Data Grade	Data Grade Level	Corrective Action
Error Free	0	None
Informational	1	A correction report is not required
Suspect	2	Correction report is required, if applicable
Default Error	3	A correction report is required only if NCCI's default value is incorrect
Priority Error	4	Correction report is required
Priority/Critical Error	5	For 1 st reports a correction or replacement report is required. For subsequent and previously reported correction reports, a correction report is required
Transaction Reject	9	Correction report or corrected original report is required



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Sample Submission Results Report

Unit Submission Results Report										
Coverage Provider Group ID: 45856 - NCCI TRAINING COMPANY										
Submission ID: 3174402										
Policy Number	Pol Eff Dt	State	Insured Name	Rpt Nbr	Corr Seq Nbr	Data Grade	Record in Error	Field in Error	Edit Nbr/Type Code	Reported Value
WC1274158	02/01/2019	01-AL	ETUG HARDWARE	1	0	5	L	CLASSIFICATION CODE	0282-14	8010
Edit Message / Validation Desc: CORRESPONDING EXPOSURE CLASSIFICATION CODE IS MISSING FOR THIS LOSS RECORD										
WC2385269	02/17/2019	09-FL	USRG TOWING CO	1	0	2	H	ESTIMATED EXPOSURE INDICATOR	0068-02	Y
Edit Message / Validation Desc: CORRECTION REPORT WITH AUDITED EXPOSURE IS REQUIRED										

Sample Unit Edit and Validation Matrix

UNIT STATISTICAL EDIT AND VALIDATION MATRIX—PRODUCTION (September 4, 2020 Release)						
Record Type	Edit Number/Type Code	Data Grade	Data Field	Edit Message/Validation Description	Edit Description/Validation Summary	Report Type
5	0282-14	5	Class Code	CORRESPONDING EXPOSURE CLASS CODE IS MISSING FOR THIS LOSS RECORD	The loss Class Code on the incoming unit must have a corresponding exposure Class Code with nonzero exposure amount when there is nonzero loss or Paid ALAE amounts. EXCEPTION: Loss Class Codes where exposure amounts are not applicable. Associated Net Edit 0282-18	All

4. Address Edits

- Review Unit Submission Results Report
- Submit Corrections if necessary
- Refer to **USRG** for more details on editing process and edit reports

5. Data Available for Use

- Units are accepted and free of priority/critical (Data Grade 5) or Reject (Data Grade 9) edits
- Usable in NCCI products and services

File Tracking Feature

The File Tracking feature allows you to monitor production, pre-edit, and certification submissions.



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My Mailbox **File Tracking** Tools and Information ▾ About

Files Sent Files Received

Go to Summary

File Type Received by NCCI View

Unit Last 120 Days All Files

Search Clear Search

Files Sent						5 items
File Type	Process Type	File Name	Received by NCCI	Status	Submission ID	
Unit	Production	unit25e.456.10012a.txt	10/02/2020 08:03:58 AM	Completed	3135127	
Unit	Production	unit25e.123.1001ba.txt	10/01/2020 04:43:54 PM	Completed w/Rejects	3124402	
Unit	Pre-Edit Tool	pred250e.9dnp5.txt	09/30/2020 05:25:52 PM	Completed	3114344	
Unit	Production	unit25e.78901pf.txt	09/30/2020 10:43:52 AM	Rejected	3114206	
Unit	Certification	unit25e.8124004.tst	09/28/2020 04:02:38 PM	Completed	3114190	

1. Option to view files you send to NCCI and the files NCCI send back to you
2. Files are available up to 120 days
3. Status column lets you know the stage of processing
 - a. Completed—the file has completed processing and didn't receive any edits
 - b. Completed With Rejects—processing is complete and it did receive edits
 - c. Rejected—the file did not pass submission edits so it was never processed

Using File Tracking

Expanded view of production file that was accepted but with rejected units:

Files Sent						1 item
File Type	Process Type	File Name	Received by NCCI	Status	Submission ID	
Unit	Production	unit25e.244.101ba.txt	10/05/2020 04:43:54 PM	Completed w/Rejects	3174402	

1 Name
Jackie Ganthier

Unit Count		Record Count		Submission Results	
Submitted	Rejected	Submitted	Rejected	Status	
30	10	180	50	Go to Report	

1. File submitter name is displayed
2. Number of units and records submitted and how many of them were rejected
3. Access to Unit Submission Results Report

Expanded view of production file that rejected:



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Files Sent						1 item	↻
File Type	Process Type	File Name	Received by NCCI	Status	Submission ID		
<input checked="" type="checkbox"/> Unit	Production	unit25e.74203t33.txt	10/12/2020 04:43:54 PM	Rejected	3248402		
1	Name Jackie Ganthier			Tracking # 3912961	Records 8	3	
	Reject Reason - OUT OF BALANCE	?					

1. File submitter name is displayed.
2. This is the reason why the file was rejected. This message is the same as what is provided in the email to the file submitter.
3. The number of records NCCI counted in your file.

Tips:

- Investigate further to see what the issue is pointing to. Ask yourself if it's your File Control Record or the records within the file that need to be corrected.
- Once you figure out which applies, make the correction and resubmit.

Chapter 4: Unit Data File vs. Unit Data Collection (UDC)

- Data elements you see in the file will all be dispersed and displayed across multiple screens and in a different order within **UDC**.
- Policy Effective Date in the file is reported with the two-digit year first, then month, then day—whereas **UDC** displays it as month, day, then year.
- Report number is a one-byte field in the file. To report a 10th report, use the letter "A". **UDC** will know to display it as a 10.
- Header, Name, and Address Records are three separate records in a file. In **UDC**, this information is all combined on the Header/Name screen.
- Alphanumeric fields are left justified and right blank-filled in the file. If blanks are not included, the file would reject due to null characters.
- Numeric fields are right justified and left zero-filled. **UDC** will display with no zeros but will include a comma.
- Assumed decimal points are used to report:
 - Nonpayroll exposures with the assumed decimal before the last digit of the field
 - Experience mod with the assumed decimal between the first and second digit of the field
 - Manual rate with the assumed decimal between the first and second digits of the field

Reminder: the decimal point is not reported in the file; however, it will automatically display in **UDC**.



Chapter 5: Using Correction Reports

Use corrections to your data based on edit or as needed.

Correction Type Codes

Correction type codes are important because they identify the record being updated.

Code	Description	Additional Rules and/or Exceptions (If Applicable)
H	Header Record Correction	Applicable to 1st reports only.
E	Exposure Record Correction	Applicable to 1st reports only.
L	Loss Record Correction Other Than Aggravated Inequity	
A	Loss Record Correction Due to Aggravated Inequity	Applicable in Florida only. Refer to the Florida state exception in Part 5, Item A-1—When Correction Reports are Required.
T	Total Record Correction	
M	Corrections to Multiple Record Types	

Update Type Codes

- Identify how each exposure or loss record is processed
- There are two methods you can use
 - P and R for Previous and Revised, or
 - A, C, D for Add, Change, Delete

Update Type Codes—Using P and R Method

Update Type Code	Records Required
R	Used to add a new record
P and R	<ul style="list-style-type: none">Used together to represent a change to existing dataP record must match previously reported dataR record will revise the data
P	Used to delete previously reported data

Reminders:

- When you reported the original 1st Report, all your exposure and loss records were sent using the "R" because it was all new
- Reporting key information correctly is essential to allow us to properly link the data

Update Type Codes—Using A, C, D Method

Update Type Code	Records Required
A	Used to add a new record (equivalent of R)
C	Used to change to existing data (equivalent to P and R)
D	Used to delete previously reported data (equivalent to P)

Reminders:

- If your file includes these update type codes, they will be translated to P and R when they are loaded to NCCI's database
- Some data collection organizations do not accept this method, so you'll need to check with them directly

Correction Sequence Number

- Required for all unit reports
- Sequenced within each unit report level



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- Even if reporting an initial correction to two different report levels, they would each be reported with a 1 in the correction sequence number field

Example:

Report Level:	1	Correction Seq #:	1
Report Level:	2	Correction Seq #:	1

- The sequence number allows NCCI to keep track of the order in which the units are processed
 - For the first 9 corrections, use 1–9 in the correction sequence number field
 - For the next 26 corrections, use A–Z in the correction sequence number field
 - For corrections beyond 35, continue to use Z in the correction sequence number field

Correction Report Requirements

Correction Type	Header (1) Record	Name (2) Record	Address (3) Record	Exposure (4) Record	Loss (5) Record	Total (6) Record
Header (H)	Must have only 1	Optional	Optional		None Allowed	
Exposure (E)		Must have only 1	None Allowed	Required	None Allowed	Optional
Loss (L)		Must have only 1		None Allowed	Required	Optional
Multiple (M)		Must have only 1		Optional Required for correcting exposure(s)	Required for correcting loss(es)	Optional
Total (T)		Must have only 1		None Allowed		Must have only 1
Loss due to Aggravated Inequity (A) (FL only)		Must have only 1		None Allowed	Required	Optional

Header/Key Field Corrections

- 1st reports only.
- Report next Correction Sequence Number.
- Correction Type Code “H” or “M”.
- Report all fields including those that did not change. Otherwise, by leaving it blank, NCCI will assume you are removing the data.

Reminder: If you try to update the Header when submitting corrections labelled as “E” or “L”, your entire correction report will reject.

Header/Key Field Corrections—Exceptions

- Report Number and Correction Sequence Number cannot be corrected



- Contact NCCI Customer Service
- Exposure State cannot be corrected
- Delete all exposure and claim records
- Submit another unit with the correct exposure state

Exposure Corrections

- 1st reports only
- Report next Correction Sequence Number
- Report Correction Type Code "E" or "M"
- Use appropriate Update Type Code(s)
- Exposure Matching Fields must be consistent



Exposure Matching Fields

- The exposure matching fields consist of:
 - Classification or Statistical Code
 - Exposure Act Code
 - Experience Modification Effective Date
 - Rate Effective Date
 - Manual Rate*
 - Premium Amount*

* One or more of these additional fields may apply to MA, MI, NC, NY, and TX units; see the *Unit Statistical Reporting Guidebook*, Part 4A for details

For example, in Texas, to have the expanded matching fields, you must report an "E" in the employee leasing code field.

Loss Corrections

- Report next Correction Sequence Number
- Correction Type Code "L", "M", or "A"
- Use appropriate Update Type Code(s)
- Loss Matching Fields must be consistent

Reminder: If you're correcting a Florida Aggravated Inequity claim and any other loss records, be sure to submit the "A" correction separately.



Loss Matching Fields

- Claim Number
- Accident Date
- Loss Condition Code: Act*
- Loss Condition Code: Type of Loss*
- Loss Condition Code: Type of Recovery*
- Loss Condition Code: Type of Claim*
- Vocational Rehabilitation Indicator*
- Jurisdiction State Code*



* One or more of these additional fields may apply to MD, TX, and VA units; see the ***Unit Statistical Reporting Guidebook***, Part 5-A for details

Reminder: Claim Number and Accident Date are the only loss matching fields for all states, except MD, TX, and VA.

More Reporting Examples

For additional reporting examples, refer to Part 15 of the ***USRG*** for:

- National Rule Examples
- State-Specific Rule Examples

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