Financial Data Collection Tool
User’s Guide

January 26–29, 2016
Palm Beach County Convention Center
West Palm Beach, FL
# Table of Contents

**Financial Data Collection Main Page**

- Financial Data Collection Workflow ................................................................. 3

**Deviations**

- View an Active Deviation...................................................................................... 4
- Add/Update an Active Deviation ............................................................................. 6
- View Combined Deviation History ......................................................................... 8
- View a DSR Level Data Report ............................................................................... 10
- View an NAIC Premium Data Report ..................................................................... 11

**Load/Validate/Submit Data**

- Create a Financial Call ............................................................................................ 12
- Copy a Financial Call ............................................................................................... 15
- Import a Financial Call ............................................................................................ 16
- Search Calls ............................................................................................................... 18
- Validate Call Data via Call Data Main Page ............................................................ 21
- Submit Call Data via Call Data Main Page ............................................................... 23
- Delete Call Data ....................................................................................................... 25

**Edit Functions**

- View Edits and Add Explanations ......................................................................... 26
- Request a Financial Data Edit Report ...................................................................... 30

**Notifications**

- View Latest Notifications ....................................................................................... 31

**Tools—ADQIP Appeals**

- Create an ADQIP Appeal .......................................................................................... 34
- Edit/View an ADQIP Appeal ...................................................................................... 35

**Supplemental Information**

- Import Reject Information ....................................................................................... 36

**Notes** .................................................................................................................. 45
Financial Data Collection Main Page

The **Financial Data Collection** main page provides the following:

- **About Financial Data Collection** section (1)—An overview of the product
- **Latest Enhancements** (2)—Click the link for additional information
- **System Alerts and Information** (3)—A listing of timely information regarding submitting data and current processing times for validation and submission
- **Quick Links** (4)—Click one of the Quick Links to quickly access the information you desire
Financial Data Collection Workflow

*Financial Data Collection* allows you to perform several functions. The order in which you should perform such functions is as follows:

1. Access Financial Data-Related Resources via Tools Component
2. Review Deviation Information (update if necessary)
   a. View DSR Premium Report (as needed)
   b. View NAIC Premium Report (as needed)
3. Load Financial Data into *Financial Data Collection*
   a. Import Call Data (if method of choice)
   b. Copy Call Data (if method of choice)
   c. Create Call Data (if method of choice)
4. Create Self-Audit Form
5. Search Call Data (as needed)
6. View All Calls (as needed)
   a. View Calls Submitted to NCCI (as needed)
   b. View Calls in Created, Updated, Validated, or Rejected Status (as needed)
   c. View Call History (as needed)
7. Update Call Data via Edit Mode (ongoing as necessary)
8. Validate Call Data via Call Data Main or Edit Mode (ongoing as necessary)
9. View Call Data Edits (ongoing as necessary)
   a. Add Explanations as needed
10. Delete Call Data for Presubmitted Calls (as needed; can only be completed before submitting a Financial Call)
11. Submit Call Data via Call Data Main or Edit Mode
   a. Submit Self-Audit Form
12. View and Respond to Notifications (as needed)
13. Create a Correction (as needed)
14. Print Financial Calls (as needed)
   a. View Print Request Queue (as needed)
15. Access and Print the Acknowledgment Contact Form to Submit to NCCI
Deviations

View an Active Deviation

The Deviations component allows you to view, add, or change active deviation information. In addition, you can view active deviations for all states. The Active Deviation report displays active deviations, which indicate that the carrier filed a deviation after an NCCI loss cost or rate effective date.

Follow the steps below to view/update your active deviation.

1. Hover over the Deviations tab and click Active Deviations.

2. Select the following search criteria:
   - Carrier
   - State

3. Click the Search button.

Note: If the search criteria you selected have no active deviations, a prompt will appear stating “No records returned—please search again.” However, at this time, you will be able to add a new record for the selected criteria.
Based on the search criteria you entered, an Active Deviation Results table displays with the following information:

**Associated Information:**
- State
- Active Flag
- Carrier Code
- Effective Date of Deviation
- NCCI DSR Level Effective Date
- Deviation Amount
- Comments
- Rolling Multiplier
- Filed or Calculated
- Basis of Rates (only displays when the state selected is Texas)

**Search Active Deviation Results**

<table>
<thead>
<tr>
<th>Edit</th>
<th>State</th>
<th>Active Flag</th>
<th>Carrier Code</th>
<th>Effective Date of Deviation</th>
<th>NCCI DSR Level Effective Date</th>
<th>Deviation Amount</th>
<th>Comments</th>
<th>Rolling Multiplier</th>
<th>Filed or Calculated</th>
</tr>
</thead>
<tbody>
<tr>
<td>ILLINOIS</td>
<td>☑️</td>
<td>11111</td>
<td>10/06/2008</td>
<td>01/01/2008</td>
<td>0.283</td>
<td>test</td>
<td>N</td>
<td>C</td>
<td></td>
</tr>
<tr>
<td>ILLINOIS</td>
<td>☐️</td>
<td>11111</td>
<td>11/30/2009</td>
<td>04/01/2009</td>
<td>0.190</td>
<td>test</td>
<td>N</td>
<td>C</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** The results displayed will disappear if either criteria selection is changed. If you make a change, click the **Search** button again to generate results.

5. You now have the following options:
- Add information that is missing on the Active Deviation Results table
- Change information for deviations within the current valuation year or subsequent years
- Generate a report of the results that will be sent to your DTVI mailbox
- Switch to a different carrier and/or state to view different deviation information

6. When you are finished using the window, you have the following options:
- Click **Financial Data Collection** at the top of the window to return to the application main page
- Hover over another tab at the top of the window to access another component
Add/Update an Active Deviation

The Deviations component allows you to add or change active deviation information for all states. The Active Deviation report allows you to add new deviation records or update records for the current valuation year and subsequent.

Follow the steps below to Add an active deviation.

1. From the results screen of a search for active deviations, click the Add Deviation button.

2. Make selections or entries into all fields.

   Notes:
   - The Deviation Effective Date must be greater than or equal to the selected NCCI DSR Level Effective Date.
   - The Deviation Amount value in the “Add Active Deviation” area on the left is calculated from the values entered in the “Add Weighted Deviation” area on the right.
   - Comments are optional.

3. Click the Save button.
4. You now have the following options:
   - Add information that is missing on the Active Deviation Results table
   - Change information for deviations within the current valuation year or subsequent years
   - Generate a report of the results that will be sent to your DTVI mailbox
   - Switch to a different carrier and/or state to view different deviation information

5. When you are finished using the window, you have the following options:
   - Click Financial Data Collection at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component

Follow the steps below to **Update** an active deviation.

1. From the results screen of a search for active deviations, click the ✒ icon by the record you want to update.
   
   **Note:** You can only update records within the current valuation year or subsequent years.

2. Make any changes to the available fields.
   
   **Note:** Comments are still optional.

3. Click the Save button.

4. You now have the following options:
   - Add information that is missing on the Active Deviation Results table
   - Change information for deviations within the current valuation year or subsequent years
   - Generate a report of the results that will be sent to your DTVI mailbox
   - Switch to a different carrier and/or state to view different deviation information

5. When you are finished using the window, you have the following options:
   - Click Financial Data Collection at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component

**Note:** For details on how to import active deviations, see the Import a Financial Call section that follows in this user’s guide.
View Combined Deviation History

The **Deviations** component allows you to view your company’s Combined Deviation History. The Combined Deviation History shows a company’s active deviation history and NCCI DSR Level changes affecting a given state. The screen displays the most current 10 years of information or the total number of years applicable to your company’s reporting history, but not to exceed the most current 10 years.

The Combined Deviation History displays all of a carrier’s companies that have active deviations for a selected state. This information will assist carriers in identifying the elements that affect the calculations of the DSR premium for a given policy year.

Follow the steps below to view a combined deviation history.

1. Hover over the **Deviations** tab and click **Combined Deviation History**.
2. Select the following search criteria:
   - Carrier
   - State
3. Click the **Search** button.
4. Based on the search criteria you entered, your company’s Combined Deviation History for the state selected displays with the following information:
   - Type of Filing
   - Carrier Code
   - Carrier Deviation Effective Date
   - NCCI DSR Level Effective Date
   - Carrier Deviation
   - Rolling Multiplier
   - NCCI Filing Change

5. You now have the following options:
   - Generate a report of the displayed information that will be sent to your DTVI mailbox
   - Switch to a different carrier and/or state to view a different Combined Deviation History

6. When you are finished using the window, you have the following options:
   - Click Financial Data Collection at the top of the window to return to the application main page
   - Hover over another tab at the top of the screen to access another component
View a DSR Level Data Report

The historical NCCI-Designated Statistical Reporting (DSR) Level Data report displays data changes on a per-state basis.

Follow the steps below to view the historical NCCI DSR Level Data report.

1. Hover over the Deviations tab, select Deviation Reports, then click DSR Level Data.

   ![Financial Data Collection](image)

   Clicking the DSR Level Data link shows the Designated Statistical Reporting (DSR) Premium changes that have taken place for the selected state.

2. Select the state.

3. Click the Search button.

4. Based on the search criteria you entered, a chart with DSR Level Data displays with the following information:
   - State
   - NCCI DSR Level Effective Date
   - Use in DSR Calculation
   - DSR Deviation Value

5. You now have the following options:
   - Print the report using your Internet browser’s Print feature
   - Download a CSV file to your DTVI mailbox

6. When you are finished using the window, you have the following options:
   - Click Financial Data Collection at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
View an NAIC Premium Data Report

The National Association of Insurance Commissioners (NAIC) Premium Data report provides calendar year premium for each carrier within your company’s reporting group, broken down by state. The premium amounts listed are used to create individual carrier weights used in calculating the expected deviation for that group.

Follow the steps below to view and/or print your NAIC Premium Report.

1. Hover over the Deviations tab, select Deviation Reports, then click NAIC Premium Data.

2. Select the following search criteria:
   - Carrier
   - Valuation Year

3. Click the Search button.

4. Based on the search criteria you entered, an NAIC Premium Report displays with the following information:
   - Carrier Code
   - State
   - Premium Written

5. When you are finished using the window, you have the following options:
   - Click Financial Data Collection at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
Create a Financial Call

The Manage Call Data component allows you to input data on a Financial Call and per-state basis. Create Call Data is the first option to make a Financial Call in Financial Data Collection.

Follow the steps below to create a Call.

1. Hover over the Call Data tab, select Manage Call Data, then click Create Call Data.

2. Select the following search criteria:
   - Carrier
   - Call
   - State
   - Valuation Year

3. Click the Create button.

Note: An error message will display if you cannot create the selected Call.
4. You are automatically taken into the data entry mode for the Call you selected. Here you can enter financial data in the applicable fields and click the **Save** button before moving to the next page within a Call or to another menu option in the tool.

5. You now have the following options:
   - Click the **Save** icon at any time. If you attempt to leave **Page 1** of a multipage Call without clicking the **Save** icon, you will be prompted to confirm that this is what you want to do. If you leave a page without clicking the **Save** icon, your data will not be saved.
   - Click one of the other page tabs at the top of the screen and select another page to add more data (with multipage Calls only).
   - Use the +/- Incremental field to adjust only one data cell by a specific value entered in the field.
   - Click the **Vertical Tabbing** link to switch from tabbing left-to-right to up-and-down. Once pressed, this link will change to **Horizontal Tabbing**, which will allow you to switch back.
   - To freeze the header at the top of the screen while scrolling, use the drop-down that will be defaulted to **Header Unfixed** and select one of the **Header Fixed** options. You will have three options to select how many rows of data are viewable with the fixed header: **Small Grid** (fewest rows), **Medium Grid**, and **Large Grid** (most rows).
   - Click the **Reset** button to revert all data back to the last save. Any changes you may have made subsequent to the last save will be lost.
   - Click the **View** button to exit data entry mode and just view the last saved data.
   - Click the **Print** icon to print the current Financial Call in HTML file format.
   - Click the **Validate** button to validate the Call data that you are working on. Refer to the Validate Call Data via Edit Mode function.
   - Click the **Submit** button to submit the Call data that you are working on. The **Submit** button will only appear on this screen once the Call has been validated. Refer to the Submit Call Data via Edit Mode function.
   - After a Call has been Validated or Submitted, any Edits that flag on the Call can be viewed directly within the Call itself while in view mode. If a row has an Edit, an arrow icon will appear to the left. When clicked, a listing of all Edits for that row will appear.

From within a Call, **Validate**, **Save**, and **Print** actions may take place. If a Call has been validated, the **Submit** option is also available.
6. When you are finished using the window, you have the following options:
   - Click **Financial Data Collection** at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
Copy a Financial Call

The **Copy Call Data** function allows you to specify a Call type, then copy prior-year data to current-year data for the selected criteria.

**Note:** This function only applies to Calls #3, #3A, #5, #5A, #20, #21, #31, #32A, #32V, and #33.

Follow the steps below to copy the prior year’s data into the current year Financial Call.

1. Hover over the **Call Data** tab, select **Manage Call Data**, then click **Copy Call Data**.

2. Select the following search criteria:
   - Carrier
   - Call Type
   - State—Specify a State(s)

   **Note:** Multiple States can be selected by holding down the **Ctrl** key and clicking the States desired.

3. Click the **Copy** button.

4. When the copy function is complete, the Copy Call Data Results screen appears.

5. When you are finished using the window, you have the following options:
   - Work on any of the Calls via **Search Call Data**
   - Click **Financial Data Collection** at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
Import a Financial Call

The Import Call Data component allows you to import current-year data from your system into Financial Data Collection. The Import feature also allows you to import prior years’ data if needed.

To import a Financial Call data file, you must consider the following:
- The location of the source data
- The specifications (layout) of the output file

Note: All Calls can only be imported in a Comma Delimited (CSV) format.

Once the file has been created, follow the steps below to import it.

1. Hover over the Call Data tab, select Manage Call Data, then click Import Call Data.
2. Use the Browse button located next to the File Name field to select a file from your local hard drive from which Call data will be imported—or enter the file name—then click the Send button.

Notes:
- The file name should not contain spaces or special characters
- The file name should be in the following format prior to importing: FDC,[description],[call type].csv

Where [description] is a user-defined description of the file and [call type] is defined as one of the following:
- 100 Call 1—Cal Year for Workers Comp Net Direct Written Premium
- 101 Call 1A—Cal Year for Direct Assign Net Direct Written Premium
- 102 Call 1B—Cal Year Alternate Equivalent Premium
- 103 Call 1C—Cal Year Kansas Municipalities Premium Exclusion
- 104 Call 1D—Cal Year New Mexico Small Policy Exemption
- 003 Call 3—Policy Year Call
- 030 Call 3A—Assigned Risk Policy Year Call
- 005 Call 5—Cal/Accident Year Call
- 050 Call 5A—Assigned Risk Cal/Accident Year Call
- 008 Call 8—Reconciliation Call
- 010 Call 10—Schedule Rating Premium Adjustment
- 110 Call 10T—Texas Policy Year Call for Schedule Rating Modifications
- 011 Call 11—F-Class (not required for valuations 2007 and subsequent)
- 014 Call 14—Calendar Year Expense
- 019 Call 19—Accident Year Countrywide Loss Adjust Expense
- 026 Call 26—N. Carolina Addendum for Calls #3, #5 & #19
- 031 Call 31—Large Loss and Catastrophe Call
- 020 Call 20—Large Deductible Policy Year Call
- 021 Call 21—Large Deductible Cal/Accident Year Call
- 032 Call 32V—Virginia Coal Mine Voluntary Call
- 132 Call 32A—Virginia Coal Mine Assigned Risk Call
- 033 Call 33—Virginia Coal Mine Large Loss and Catastrophe Call
- DEV Deviation Import Record
Examples:

FDC.AlabamaCall3.003.csv
FDC.99999Call5.005.csv
FDC.NewHampshireCall8.008.csv

Upon completion of the import, a confirmation message displays: “Upload is successful.”

Note: This confirmation message does not mean that the data has been loaded into Financial Data Collection. This only means that the system has received the file and will process it.

See Part 12 of NCCI's Financial Call Reporting Guidebook for detailed information on import files.

See the Supplemental Information section within this user’s guide for additional details on emails you may receive after importing a file.

3. When you are finished using the window, you have the following options:

- View and/or update the data you just imported from Search Call Data
- Click Financial Data Collection at the top of the window to return to the application main page
- Hover over another tab at the top of the window to access another component
Search Calls

The **Search Call Data** option allows you to view all active data by Call or by state, Calls submitted to NCCI by Call or by state, and historical data by Call or by state.

From the Search Results screen, you may perform the following tasks:
- View specific Call data
- View edits for a specific Call
- Print Calls
- Update specific Call data
- Unlock Call data that you have recently edited so that another user can access the Call
- Validate Calls
- Delete Calls if the data has not yet been submitted to NCCI
- Submit Calls

Follow the steps below to view all active data.

1. Hover over the **Call Data** tab and click **Search Call Data**.

2. Use the following search criteria to filter what you want to view:
   - Carrier Code—Select one carrier from the list of all carriers within your Reporting Group
   - Call Type—Specify a Call or choose "All Calls" (default selection returning all Call types)
   - State—Specify a state or choose **Select State** (default selection of all states)

   **Note:** This field defaults to the appropriate state for the following Calls and cannot be changed to another state for:
   - Calls #1, #1A, #1C, #1D, #10T, #19, #26, #32V, #32A, and #33
   - The Self-Audit Form and the Acknowledgment Form
   - Calls #20 and #21, for only valuation years 2011 and subsequent

   - Valuation Year—Defaulted to the current year, this is a selection of the six most recent valuations
   - Call Status—An optional selection of Calls based on their current status: Created, Rejected, Submitted, Updated, Validate Queued, or Validated (defaults to Select Call Status, which is a display of all Calls regardless of status)

   **Note:** The list of available Call types will update based on the selected state, and the list of available states will update based on the selected Call type.
3. Click the **Search** button.

4. Based on the search criteria you entered, you can view the following for each Call:
   - Call Type
   - State
   - Carrier
   - Submission Date
   - Submission Type (e.g., Original, Correction)
   - Current User
   - Call Status
   - Last Validated

   **Note:** If working on a correction, you will not be able to view the currently Submitted Call from here. Use **Search Call History**—an additional tab found on this screen—to view this data.

5. You now have the following options, or skip to Step 6 to take an action.
   - The checkbox in the header column can be used to place a checkmark next to all Calls listed in the results. Checkmarks are needed prior to selecting any of the following options: (Note: You can also individually select any Call(s) in the search results.)
     - **Unlock**—This removes the lock from all selected Calls to allow other users within your company to make updates to any Call in the presubmission stage.
     - **Validate**—This sends all selected Calls through the edit validation process.
     - **Submit**—This sends all selected Calls through the submission process.
     - **Delete**—This deletes all selected Calls that have not been submitted to NCCI. Calls that have been submitted to NCCI cannot be deleted.
     - **Print**—This creates an HTML printout of the selected Calls that is sent to your **DTVI** mailbox.
   - Switch to different search criteria to view a different set of Call results.
6. For one individual Call from the search results at a time, you can do one of the following:
   - **View** the specified Call data by clicking the link found in the Call Type column. Printing, editing, validating, and submitting capabilities can be accessed through this option.
   - **View Edits** for the specified Call by clicking the corresponding > found in the first column. Full details of each Edit and the ability to provide an explanation can be accessed through this option. (*Note: If a Call does not have the > in the first column, then that Call does not have any current Edits.*)

7. When you are finished using the window, you have the following options:
   - Click **Financial Data Collection** at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
Validate Call Data via Call Data Main Page

The Call Data component allows you to search and validate Financial Call data via the Validate Call Data option. To use the validation function effectively, ensure that all Call data within any one state is available (already created and not being edited) to perform validation. Making all Calls within any one state available ensures that all types of validation are executed and all relevant edits are shown.

Follow the steps below to validate Financial Call data from the Call Data component main page.

1. Hover over the Call Data tab and click Validate Call Data.

2. Use the following search criteria to filter the Call(s) that you want to validate:
   - Carrier
   - Call Type—Specify a Call type(s)
   - State—Specify a State(s)
   - Valuation Year

   **Note:** Multiple Calls and/or States can be selected by holding down the Ctrl key and clicking the Calls/States desired.

3. Click the Validate button.
4. The screen displays a results table of Call data to be validated (i.e., "CALL DATA IS QUEUED FOR VALIDATION") by State/Call.

To access detailed results of the validation, perform a search on either current Edits or available Calls.

**Note:** Each validation is processed in the order it was received within the queue. The validation results are not processed in real time.

5. You now have the following options:
   - Hover over the **Call Data** tab and click **Search Call Data** to view the status of the validation and to see if any edits have been identified.
   - Hover over the **Edits** tab and click **Search Current Edits** to view any identified edits. Refer to "View Edits and Add Explanations" in the Edit Functions section of this user’s guide.
   - Select different criteria to have a different set of Calls be validated.

6. When you are finished using the window, you have the following options:
   - Click **Financial Data Collection** at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
Submit Call Data via Call Data Main Page

The **Call Data** component allows you to search and submit Financial Call data via the **Submit Call Data** option. To use the submission function effectively, ensure that all Call data within any one state is available (already created, not being edited, and has been validated) to perform submission. Making all Calls within any one state available ensures that all types of validation during submission are executed and all relevant post-submission errors are shown.

Follow the steps below to submit Financial Call data from the **Call Data** component main page.

1. Hover over the **Call Data** tab and click **Submit Call Data**.

2. Use the following search criteria to filter the Call(s) that you want to validate:
   - Carrier
   - Call Type—Specify a Call type(s)
   - State—Specify a State(s)
   - Valuation Year

   **Note:** Multiple Calls and/or States can be selected by holding down the **Ctrl** key and clicking the Calls/States desired.

3. Click the **Submit** button.
4. The screen displays a results table of Call data to be validated (i.e., “CALL DATA IS QUEUED FOR SUBMISSION”) by State/Call.

   **Note:** Each submission is processed in the order it was received within the queue. The submission results are not processed in real time.

5. You now have the following options:
   - Hover over the **Call Data** tab and click **Search Call Data** to view the status of the submission and to see if any additional edits have been identified.
   - Select different criteria to submit a different set of Calls.

6. When you are finished using the window, you have the following options:
   - Click **Financial Data Collection** at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
Delete Call Data

The Call Data component allows you to locate and remove Financial Call information from Financial Data Collection if it has not yet been submitted to NCCI.

Note: The delete option will not function for Calls that have already been submitted to NCCI or when you perform a search for Call history.

Follow the steps below to delete Financial Calls in the presubmission stage.

1. Click the Call Data tab and click Search Call Data.

2. Use the following search criteria to filter what Call(s) you might want to delete:
   - Carrier Code
   - Call Type
   - Valuation Year
   - State
   - Call Status

3. Click the Search button.

4. Select each Financial Call you want to delete by marking each Call’s checkbox. You can select multiple Calls to be deleted at the same time.

   Once you have selected all Calls to be deleted, click the Delete button at the top of the search results.

5. A Confirmation Message displays, asking that you confirm your delete action. Click OK to delete the Call(s).

   Notes:
   - If you delete a Call with a “Correction” Submission Type that is in the “Staging” area (not yet submitted to NCCI) and go back to the Search Call Results page, the Call will revert and be displayed as the previous submission.

   - If you delete an “Original” Submission Type that is in the “Staging” area (not yet submitted to NCCI) and go back to the Search Call Results page, the Call will no longer be displayed.

6. You now have the following options:
   - Click Financial Data Collection at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
Edit Functions

View Edits and Add Explanations

The Edits component allows you to search and view all edits generated through validation of your Call data. You may also search for all edits for all Calls by carrier.

This function provides the capability to enter Call data explanations into the Edit Details, along with the capability to copy explanations for the current state or across all states. It also allows you to acquire a better understanding of how calculations are applied to your data.

Follow the steps below to view, enter, or copy explanations of all Financial Call Edits.

1. Hover over the Edits tab and click Search Current Edits.

2. Select or enter the following search criteria:
   - Carrier Code
   - Call Type
   - Valuation Year
   - State
   - Edit Type (Pre-Submission, Post-Submission)
   - Filter (an optional selection to further limit your results)
   - Explanation Accepted
   - Edit Number

3. Click the Search button.
4. Based on the search criteria you entered, the Error Log displays the following:
   - State
   - Edit #
   - Observation/Claim #
   - Call
   - Edit Description
   - Carrier Explanation

   **Note:** If the search produces no results, the following message will appear: “No Edits Found—Please Search Again.”

5. You may click the **Print** icon to request an “Edit Log Data” report that can subsequently be picked up in your DTVI mailbox in HTML format.

6. Click the applicable > to view a detailed description of the edit, as well as provide an explanation about the edit.

7. A new row displays the following edit description detail:
   - Edit #
   - Observation/Claim #
   - Edit Status
   - Valuation
   - Call Type
   - State
   - Submission Type
Create Date
Edit Description
Carrier Explanation Accepted
Explanation

Notes:
- You may click the Associated Call View link within the Edit Detail to display the Call that the edit applies to. This will take you out of the Edits Results screen and to the Call in view mode.
- From the Associated Call View, you can view the edit again by clicking the > for the appropriate observation row.

8. Enter an explanation for the specific edit that you want saved into the Edit Detail, then click the Save button.
9. If you want to copy edit explanations into other edits, click one of the following buttons:
   - **Copy Current State**—to copy the explanation into the Edit Detail for all occurrences of this edit for this Call type and current state
   - **Copy All States**—to copy the explanation into the Edit Detail for all occurrences of this edit for this Call type and all states

10. You now have the following options:
   - Click the ▼ to close the Edit Detail screen
   - Click a different edit’s ► to view its detailed description
   - Change the search criteria to perform a different search

11. When you are finished using the window, you have the following options:
   - Click **Financial Data Collection** at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component
Request a Financial Data Edit Report

This function allows you to request a Financial Data Edit Report that provides a listing of all currently existing edits. You may then retrieve it from your DTVI mailbox as a CSV file.

Follow the steps below to request a Financial Data Edit Report.

1. Hover over the Edits tab and click Request Edit Report.

2. Select the following criteria:
   - Carrier Code
   - Edit Type
   - Valuation Year

3. Click the Submit button. You will be taken to the Report and Print Request Queue screen, which will show that the report is being processed.
Notifications

View Latest Notifications

The Notifications component allows you to view all of the latest Call edit notifications from NCCI for explanations that may be questionable. You can view all edit notifications for all states or at a state level. In addition, you have the opportunity to respond with an explanation.

Follow the steps below to view, enter, or copy explanations of all Financial Call errors.

1. Hover over the Notifications tab and click Latest Notifications.

2. From the Carrier Code drop-down, select a Carrier Code or select All Carriers to view any notifications for any carrier within your reporting group.

3. Click the Search button.
4. Based on the search criteria you entered, a Notification List Search Result displays.

   **Note:** Notifications can only be sent on submitted Calls. If a Call is being corrected, a notification cannot be sent or responded to.

5. You now have the following options:
   - Click the > next to the notification list to expand the screen to view all notifications requiring attention for all event dates.
   - Click the v next to the notification list to collapse the screen for all event dates.
   - Click the > next to the Carrier Code to expand the screen to view all notifications requiring attention for a given event date.
   - Click the v next to the Carrier Code to collapse the notifications list for a given event date.
   - Click the **Expand All** button to expand the screen to view all notifications for all event dates and all carriers at once. **(Note:** Once clicked, the button will switch to **Collapse All**, which will close all notification items.)
   - Click the **Report Request** button, and a CSV file will be sent to your DTVI mailbox, containing a listing of all notifications that exist.

6. Click the applicable **Reason** link to view the Edit Detail screen. Reasons may include:
   - Additional Explanation Required
   - Correct Current Valuation
   - Correct Previous Valuation

7. The Edit Detail pop-up window displays, showing the information on the edit that the notification was sent about.
   - See “View Edits and Add Explanations” in this section of the user’s guide for information on the Edit Detail screen

8. The Explanation of Notification field shows additional NCCI inquiries about the edit. If an explanation is required, enter your error explanation within the Explanation field, then click the **Respond to Notification** checkbox. Failure to mark this checkbox will result in the notification remaining.

9. You now have the following options:
   - Click the **Associated Call View** link to view the associated call information
   - Click the **Save** button to save the explanation and update the Edit Detail
   - Repeat Steps 6 through 8 for another notification
   - Click the **button to close out the Error Log Detail
10. When you are finished using the window, you have the following options:
   - Click **Financial Data Collection** at the top of the window to return to the application main page
   - Hover over another tab at the top of the window to access another component

**Note:** At 6:00 p.m., an automatic system process will generate an email message about any notification created during that same day. This message will be generated for each carrier that received a notification and will state that the carrier has a notification(s) in **Financial Data Collection**. This message will be sent to all the personal email addresses of people who have access to the tool.

While notifications are sent and responded to in real time, this message will still be sent even if the notification has already been responded to.
Tools—ADQIP Appeals

Create an ADQIP Appeal

The ADQIP Appeals component allows you to create, edit, or print an appeal. To create an appeal, click Create Appeal.

From the Create Appeal screen, you may select from four options in the Description drop-down:

- Additional Quality Letter
- Timeliness and Quality Letter
- Timeliness Letter
- General

Enter your specific comments. You may save your appeal and continue editing at a later time or submit the appeal.
Edit/View an ADQIP Appeal

Once the appeal has been saved, you may edit the appeal. To edit or view the appeal, click the Appeal ID link. You may also print the screen by selecting the Print icon.

After submitting the appeal, no further changes can be made.

By clicking the Appeal ID link, the NCCI Response field is also viewable. You may print the screen by selecting the Print icon.
Import Reject Information

If you are using Import as your method of loading data into Financial Data Collection, there are three possible emails that you may receive once you have submitted your file for import. The first email you may receive looks like this:

From: Customer_Service@ncci.com
Sent: Wednesday, November 16, 2011 9:50 AM
To: Financial Data Collection User
Cc: NANMGATE_QA
Subject: QA - Unapproved Data Transmitted

Your data file has been rejected because you have not been authorized and certified to send in this specific data type.

Please contact customer service to implement the certification and approval process.

Mailbox:  1004588
File Name:  FDC.SuccessfullImport2011.008.csv
File Size:  379
Carrier group:  33333
FCOLINFRASTRUCTURE TESTERDONOTUSE

Wed Nov 16 09:48:56 EST 2011

If you have any questions, please contact NCCI Customer Service—1-800-NCCI-123 or customer_service@ncci.com

You will only receive this email if you do not have access to Data Transfer via the Internet (DTVI) and are, therefore, unable to import. To resolve this issue, you must contact NCCI’s Customer Service Center to adjust your access.
The second email informs you of a successful transmission. If your access is properly set up, you will receive this email every time you send a file to NCCI through DTVI. This is just a notification that NCCI has received a file. It does not mean that your file was successfully loaded into Financial Data Collection. The email looks like this:

From: Customer_Service@ncci.com  
Sent: Wednesday, November 16, 2011 9:51 AM  
To: Financial Data Collection User  
Cc: NANMGATE_QA  
Subject: QA - Successful Transmission  

Thank you for submitting your file to NCCI. Your file has been successfully transmitted to your mailbox.  
Mailbox: 1004588  
File Name: FDC.90021NM2010.003.csv  
Carrier group: 33333  
File Size: 1974  
FCOLINFRASTRUCTION TESTERDONOTUSE  
Wed Nov 16 09:50:46 EST 2011  

If you have any questions, please contact NCCI Customer Service-1-800-NCCI-123 or Customer_Service@NCCI.com
The last possible email you may get only comes in the event that there was a problem loading your file into Financial Data Collection. The email will look like this:

From: nanmgate_qa@ncci.com
Sent: Wednesday, November 16, 2011 9:52 AM
To: Financial Data Collection User
Subject: PICKUP:NCCI FDC Error File in your Electronic Mailbox

Your Financial Data submission file has been rejected. A Report has been delivered to your electronic mailbox at NCCI's web site.

This file will remain in your mailbox for eight (8) days after this notice was sent to you. Please pick this file up from the following mailbox:

Mailbox:  1004588
Carrier Group:  33333
Name:  FCOLINFRASTRUCTURE TESTERDONOTUSE user_name@ncci.com File Name: fdc.1116-095116.txt File Size:  296 Wed Nov 16 09:51:34 EST 2011

If you have any questions, please contact NCCI Customer Service-1-800-NCCI-123 or Customer_Service@NCCI.com
In the event that you do get the reject notice, you are instructed to go and view your DTVI mailbox, where you will find a text file that contains information that may help you fix your import file.

Below are some common examples of such files, along with possible solutions. This is not an exhaustive list of all possible rejections. If you are unable to find your issue below, or are still unable to correct your file, you may contact NCCI for assistance (either the Customer Service Center or your Financial Data Validator).

**Note:** Reject notices will now display an exhaustive listing of all errors found within the specified import file.

File Name: fdc.successfulimport2006.008.csv
Processed On: 08252006-133802
ERROR: Call Data Already Exists in staging, File IMPORT ORIG Failed! If you are trying to import a CORRECTION file, please change the Header to reflect a CORRECTION
ERROR: Processing failure. Please contact NCCI customer service Program is abending while processing data record number 0 in file /appl10/fco/data/inbound/706904.fcol.successfulimport2006.008.csv
The header is printed below.
11111,TESTING COMPANY,2005,8,,,,
The record in error is printed below.
42,3421894,789325,1632389,55324,82123
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

**Cause:** You may already have a Call in staging or in production.
**Solution:** Do a search Call for the Call(s) that you are trying to import. If they exist, you must determine if you should delete what is there.

*************************************************************************************************
File Name: fdc.invalidcarriercodecorrection.008.csv
Processed On: 08252006-135203
1080 NOT a valid Carrier
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

**Cause:** The carrier listed in your header record is not valid.
**Solution:** View your import file in Notepad and verify the carrier code listed in the first line.

File Name: fdc.invalidcharacter1correction.008.csv
Processed On: 08252006-135206
Invalid valuation year 2007, please enter the valuation year to be less than current year and greater than 1997
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

**Cause:** The valuation year entered in the header record is not valid. You cannot import files for valuations greater than or equal to the current year or earlier than 1997.
**Solution:** View your import file in Notepad and verify the valuation year listed in the first line.

File Name: fdc.invalidcharacter1correction.008.csv
Processed On: 08252006-135801
11111,2005-12-31
Data is not numeric, please check
Program is abending while processing data record number 0 in file
/appl10/fco/data/inbound/706904.fcol.invalidcharacter1correction.008.csv
The header is printed below.
11111,TESTING COMPANY,2005,8,,N,,,C,,,
The record in error is printed below.
42,3421894,789325,1632389,55324,82123.00
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

**Cause:** The file contains data that is nonnumeric. For most Calls, only whole numbers are accepted, and no symbols are allowed. There are a few instances in which a decimal or a date is requested.
**Solution:** Make sure that there are no decimals or symbols in your file (e.g., %, $, etc.).
File Name: fdc.invalidheadercorrection.008.csv
Processed On: 08252006-140402
Invalid Header Record
The header record is shown below
11111,TESTING COMPANY,,8,,,,C,,,,
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

**Cause:** The first line in your file has invalid values.
**Solution:** View your file in Notepad and verify that the first line is correct. Refer to the Import Record Layout available in Financial Data Collection for proper header record examples.

File Name: fdc.invalidstatecorrection.008.csv
Processed On: 08252006-140404
Contact 706904 NOT ALLOWED to submit data for Carrier 11111
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

**Cause:** The User ID used to import the file is not associated with the carrier code listed in the header record.
**Solution:** View your file in Notepad and verify that in the first line the carrier code is correct.

File Name: fdc.extralinesatendoffilecorrection.008.csv
Processed On: 08252006-135201
Invalid Format: Incorrect number of records
*****File Rejected*****

**Cause:** There are an incorrect number of rows in the file.
**Solution:** View your file in Notepad and verify that no rows are missing for the Call or that there are extra rows.

File Name: fdc.missingcolumnscorrection.008.csv
Processed On: 08252006-140605
The data record columns are not correct
Program is abending while processing data record number 0 in file /appl10/fco/data/inbound/706904.fcol.missingcolumnscorrection.008.csv
The header is printed below.
11111,TESTING COMPANY,2005,8,,,C,,,,
The record in error is printed below.
42,3221894,789325,1642389,65324
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

**Cause:** There are an incorrect number of data elements in one of the rows.
**Solution:** Verify that each row has the proper number of data elements.
File Name: fdc.invalidstatecorrection.008.csv
Processed On: 08252006-140801
Invalid State code 55
Program is abending while processing data record number 0 in file
/appl10/fco/data/inbound/706904.fcol.invalidstatecorrection.008.csv
The header is printed below.
11111,TESTING COMPANY,2005,8,,,,C,,,,
The record in error is printed below.
55,3221894,789325,1642389,65324,82123
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

Cause: The state code used is not a valid state code.
Solution: Verify that your file contains valid NCCI state codes.

File Name: fdc.successfulimport2006reason22001characters.008.csv
Processed On: 08312006-135608
ERROR: Data either exists in staging or not in PROD,IMPORT CORR Failed!!!
ERROR: Processing failure. Please contact NCCI customer service
Program is abending while processing data record number 0 in file
/appl10/fco/data/inbound/706904.fcol.successfulimport2006reason22001characters.008.csv
The header is printed below.
11111,TESTING COMPANY,2005,8,,,,C,,,,
The record in error is printed below.
06,3011894,789325,1632389,55324,82123
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

Cause: You are attempting to import a correction when an original does not exist in production or there is already something in staging.
Solution: If there is no original, modify your file so that it is an original. If something exists in staging, you must delete it before importing.

File Name: fdc.invalidstate.110.csv
Processed On: 09012006-115201
Call 10T should only be reported for state 42
Program is abending while processing data record number 0 in file
/appl10/fco/data/inbound/706904.fcol.invalidstate.110.csv
The header is printed below.
11111,TESTING COMPANY,2005,110,,,,,,,
The record in error is printed below.
35,2002,1,1.2,1.4,1.1
ERROR: Processing failure. Please contact NCCI customer service
*****File Rejected*****

Cause: The state code is not 42 on a Call 10T import file.
Solution: Call 10T is only accepted for the state of Texas. The only acceptable state code is 42 for this import file.
2016 Data Educational Program
Financial Data Collection Tool User's Guide

File Name: fdc.al.003.csv
Processed On: 01032007-142201
Header Rec: 11111,TESTING COMPANY,2006,003,0,0,0,

Format: %5s,%[^,],%4d,%[^,],%[^,],%[^,],%[^,],%[^,]
Call Year: 2006
CarrCd: 11111
CarrName: TESTING COMPANY
0 NOT a valid answer(Y or N).
*****File Rejected*****

Cause: Header record contains an invalid answer to the question on Page 3 of the Call.
Solution: View your file in Notepad and verify that the 5th data element is either a “Y” or an “N.”

File Name: fdc.georgiacall31.031.csv
Processed On: 10052006-110601
Call Year: 2004
CarrCd: 11111
CarrName: TESTING COMPANY
Call Type: 031
Call 031 states are: 10
ERROR: Call Data Already Exists, File IMPORT ORIG Failed! If you are trying to import a CORRECTION file, please correct the Header to reflect a CORRECTION ERROR: while processing record number 2 in file.
The record in error is printed below.
3154TEST1A2A,TESTPOL01,0,10,3,12/11/1994,10/20/1995,0,23000000,250000,750000,10000
0,0,0
*****File Rejected*****

Cause: An original already exists in production.
Solution: If you are trying to import a correction, the header record must be marked as a correction. Review the Import Record Layout for information regarding correction imports.
File Name: f.wvorig.031.csv
Processed On: 10052006-141218
Call Year: 2004
CarrCd: 11111
CarrName: TESTING COMPANY
Call Type: 031
Call 031 states are: 1
Policy Date: 11/10/1995, Accident Date: 06/11/1996
Call 031 states are: 1
Policy Date: 01/01/1997, Accident Date: 09/10/1997
Call 031 states are: 1
Policy Date: 04/01/1997, Accident Date: 03/22/1998
Call 031 states are: 1
Policy Date: 10/01/1990, Accident Date: 09/04/1991
ERROR: Invalid Claim# 140-654, Claim numbers cannot exceed 18 characters
ERROR: while processing record number 5 in file.
The record in error is printed below.
140-654,4195406,0,1,3,10/1/1990,9/4/1991,0,260325,247160,0,46884,10380,0

*****File Rejected*****

**Cause:** Invalid claim number.
**Solution:** Claim numbers can only be alphanumeric. No symbols are allowed (e.g., “-”, “%”, etc.).

----------------------------------------------------------------------------------------------------------------------
Supplemental Information
**Presenter Biographies**

**Yohay Berger** has been with NCCI for 15 years and currently works in the Application Development Department of the Information Technology Division. His primary role is lead developer for the *Financial Data Collection* and *Data Manager Dashboard* tools. Yohay is also a member of the development teams for the *Aggregate Data Quality Incentive Program* and *Medical Data Collection* tool. This entails working with business partners to develop business requirements and working with IT partners to develop design and coding solutions for NCCI’s Web applications.

Yohay has also held positions at NCCI in Customer Operations and Data Collection.

**Cheryl Nye** has worked at NCCI for more than 10 years, and is currently a lead analyst on the Development Team in the Data Collection Department of Data Resources. Her primary responsibilities include contributing to the creation of business requirements and providing testing support for new and existing products. Previously, Cheryl worked as a data analyst on NCCI’s Customer Support Team in Data Resources, where her responsibilities included performing analytical research to identify and resolve Unit and DCI data issues and as an analyst in the Customer Service Department.

Cheryl holds a master’s degree in business administration from Palm Beach Atlantic University in Florida and a bachelor’s degree in management information systems from Florida State University.