

Chapter 1: NCCI Policy Edit Strategy

NCCI Products and Services

- Over the years, the use of Policy Data in NCCI's downstream processes has increased
- The Policy Data that you report is widely used for many NCCI products and services



Policy Data in NCCI

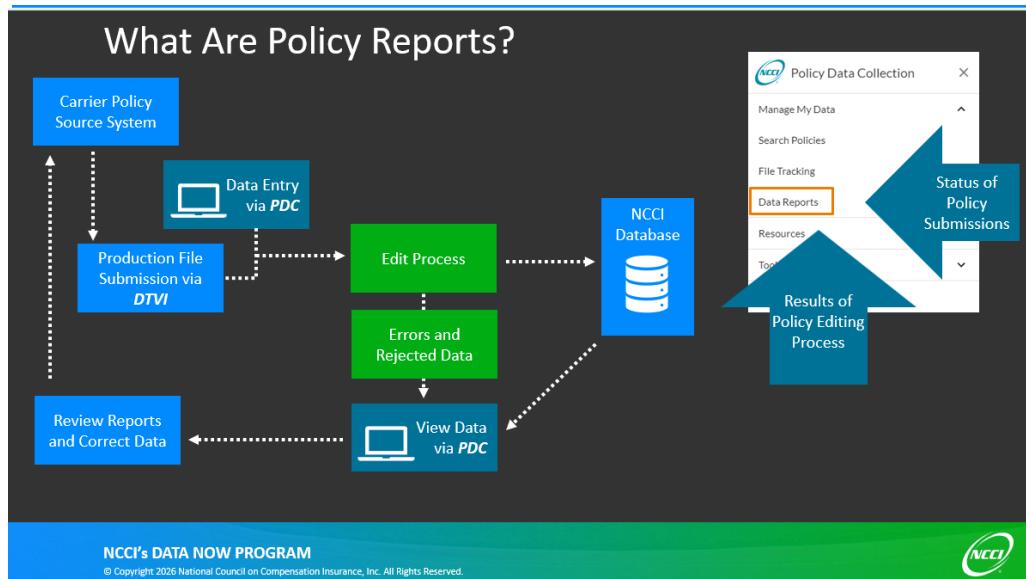
- All Policy Data goes through our editing process
- Identified issues are communicated via Data Reports

Policy Data and Proof of Coverage Edits

- NCCI Policy Data Edits
 - Performed on all Policy Data
 - Indicates if corrective action is needed
- State Proof of Coverage (POC) Edits
 - Specific data elements
 - Compliance issues

Chapter 2: Navigating to Data Reports

- Policy Data reports provide key details about:
 - The status of policy submissions
 - Rejects and errors that may require corrective action



Accessing Policy and POC Reports

- NCCI provides multiple ways to navigate to your policy reports in the Data Reports tool
 - **ncci.com**—Data Reporting, Policy and POC, Data Reports
 - **Data Transfer via the Internet (DTV)**—File Tracking, Policy, Go to Report
 - **Policy Data Collection tool (PDC)**—Data Reports

NCCI-Generated Reports

The screenshot shows the NCCI Data Reports interface with the following elements:

- Header:** NCCI logo, "Data Reports", search bar, "Contact Us", "Log Out", "My Profile".
- Navigation Bar:** "Policy", "Unit", "URC", "DCI", "Tools and Information", "About".
- Page Content:** "Policy - 45856 - NCCI TRAINING COMPANY".
- Report Selection:** A dropdown menu titled "Reports" with the following options:
 - Please select a Report —
 - Assigned Risk Binder Number Report
 - IAIAIBC POC Coverage Provider Accepted Report
 - IAIAIBC POC Coverage Provider Monthly Outstanding Reject Report
 - IAIAIBC POC Coverage Provider Reject & Error Report
 - Monthly Outstanding Noncompliance Report
 - Noncompliance/Compliance Reject Report
 - Policy Certification Submission Results Report
 - Policy Daily Submission Results Report
 - Policy Monthly Outstanding Data Grade 7 Report
 - Policy Pre-Edit Service Submission Results Report
 - Policy Submission Results Report

- Policy Submission Results Report
 - Created upon a file submission
 - Details all transactions that received an edit
- Policy Daily Submission Results Report



Data Now Program (DNP)
Researching and Correcting Policy and POC Edits

- A daily report
- Includes policy transactions or records
- Submitted the prior day
- Policy Reject & Error Report
 - Identifies rejects and errors resulting from customized criteria
- Policy Pre-Edit Service Submission Results Report
 - File submission results
 - Processed via NCCI's ***Policy Pre-Edit Service***

Policy Pre-Edit Service

- Identify Errors and Rejects prior to Production submission. Policy Risk ID Report
 - File naming convention: prepol*.txt
- Policy Pre-Edit Service Submission Results Report
 - File submission results



Data Now Program (DNP) Researching and Correcting Policy and POC Edits

Chapter 3: NCCI's Editing Process

Edit Matrices

- **Policy and POC Reporting Guidebook** provides the rules, requirements, guidelines, and examples for reporting accurate and timely Policy Data to NCCI
- Carriers are required to review edit results and submit corrected data when applicable
- NCCI requires edits to be corrected within 60 days of notification
- The Future Policy Edit Matrix lists edits that will be implemented in the future
- The Edit Matrix also provides a Change Tracking Guide

Policy and Proof of Coverage Reporting Guidebook—Policy Edit Matrices

Policy and Proof of Coverage Reporting Guidebook

Policy Edit Matrix—Production
The Policy Edit Matrix—Production lists all edits currently applied to your Policy Data submissions and includes details such as Edit Number, Edit Message, and Data Field applicability. NCCI provides updates to the Policy Edit Matrix—Production to include the most current information on NCCI's policy editing. Use the matrix when addressing edits identified in your Policy Data reports or in the [Policy Data Collection](#) tool.

Access the Policy Edit Matrix—Production:

- Microsoft® Word (Downloadable Version)
- PDF Format (Viewable Version)

Policy Edit Matrix—Future Enhancements
The Policy Edit Matrix—Future Enhancements lists all edits scheduled for future implementation and includes details such as Edit Number, Edit Message, and Data Field applicability. It provides lead time and projected implementation dates for planned changes to policy editing.

Access the Policy Edit Matrix—Future Enhancements:

- Microsoft® Word (Downloadable Version)
- PDF Format (Viewable Version)

Policy Edit Matrix—Change Tracking Guide

PDF

Issued 06/05/2025—Current PDF
Issued 05/07/2025
Issued 01/17/2025
Issued 01/17/2024
Issued 10/17/2024
Issued 09/17/2024

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Policy Edit Matrix Production

Policy and Proof of Coverage Reporting Guidebook—Policy Edit Matrices

POLICY EDIT MATRIX—PRODUCTION (May 2, 2025, Release)

Record Type	Edit Number	Data Grade	Data Field	Edit Message	Edit Description	Transaction Code	Change Effective Date/Changes
03	0002-01	9	Address—City	PRIMARY ADDRESS-CITY IS MISSING	The Type of Address is 1 (Insured Mailing Address) and the <u>City</u> field is blank.	01, 02, 04, 06, 08, 10, 14, 15, 16	03/11/2014—Transaction Code 16 [Coverage Notice Binder] added to this edit. 05/27/2010—Specified the Transaction Codes [Trans Code]. 02/25/2010—Adjusted the name of the data field. 05/03/2004—This edit has been modified to exclude compliance transactions. 10/31/2000—Edit added.
03	0002-02	6	Address—City	STRUCTURED LOCATION-CITY IS MISSING	The Type of Address is 2 (Location), the Address Structure Indicator is 1 (Structured Format) and the <u>City</u> field is blank.	01, 02, 04, 06, 08, 10, 14, 15, 16	03/11/2014—Transaction Code 16 [Coverage Notice Binder] added to this edit. 05/27/2010—Specified the Transaction Codes [Trans Code]. 02/25/2010—Adjusted the name of the data field. 05/03/2004—This edit has been modified to exclude compliance transactions. 10/31/2000—Edit added.

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Explanation of Edit Numbers

Explanation of Edit Number

Edit number is a unique six-digit identifier:

- Data Element Number
- Edit Sequence Number

0151-11

Data Element Number

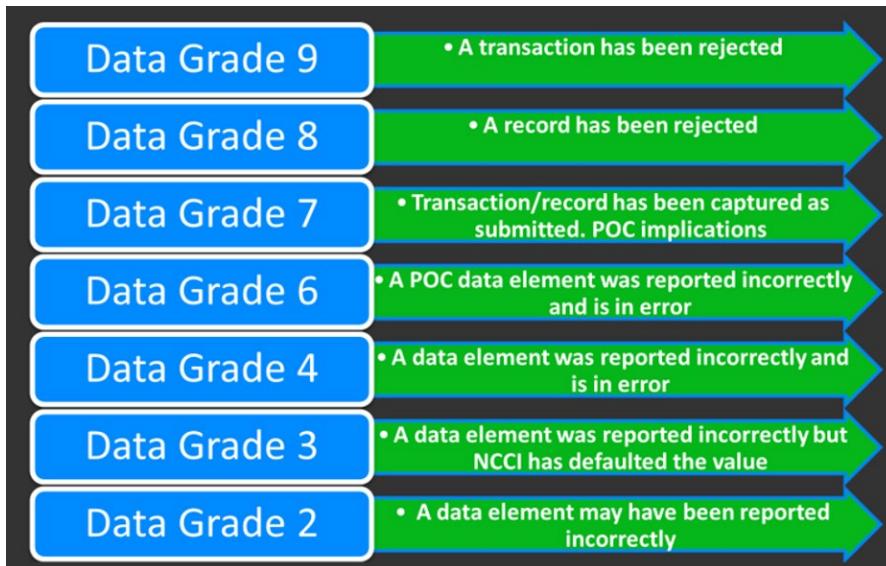
Edit Sequence Number

Edit Types

- Field
 - Ensure that the value in each field is acceptable according to the submission guidelines
- Logical
 - Verify that the data is reasonable in relation to one or more other fields
- Relational
 - Compare the data in a specific field with another field contained in the same submission and/or previously submitted data



Data Grades



- Data Grade 0 means the policy is free of errors.

Chapter 4: Reviewing and Correcting Policy Edits

File Acceptance Edit

- Error
 - Carrier Code Number
 - If a user ID is not authorized to submit data for the corresponding carrier group the file will reject. This edit will be implemented in 2026.
- Correct the Error
 - Log out and log back into ncci.com using the correct credentials

Edit 0004-09

- Error
 - 0004-09—Street Address
 - Address Record (Record Type 03)
 - An Address Type 2 was reported linked to the primary insured name and mailing address state and that address was already reported as an Address Type 1
 - Data Grade 8
- Correct the Error
 - According to the Guidebook, an Address Type 1 is considered a Location of Operation for proof of coverage purposes



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Researching and Correcting Policy and POC Edits

Edit 0111-01

- Error
 - Edit 0111-01—Legal Nature of Entity Code
 - Name Record (Record Type 02)
 - If the field is blank or invalid values, the edit will fire
 - Data Grade 4
- Correct the Error
 - Navigate to the Name Record using **Policy Data Collection**
 - Select correct option from drop down menu on the Legal Nature of Entity Code field

Edit 0004-10

- Error
 - 0004-10—Address-Street
 - Address Record (Record Type 03)
 - Address Record is reported with an Address Type 2 for a Location of Operation's Address with an invalid value such as "Various Locations"
 - Data Grade 8 on Address Record
 - Modified to a Data Grade 8 edit for all transactions with Policy Effective Dates of July 1, 2025, and subsequent
- Correct the Error
 - Verify address reporting requirements in the **POC State Guide**
 - Report either an Address Type 6—No Physical Location or an Address Type 2 with an out-of-state address
 - Circular FYI-2025-02 instructs on reporting remote workers

Edit 0037-02

- Error
 - Edit 0037-02—Class Code
 - Exposure Record (Record Type 05)
 - The class code reported is not a valid class code for the state and/or for the policy period
 - Data Grade 4
- Correct the Error
 - Verify if Stat or Class Code is listed on current Rate Sheet for state.
Example: Stat Code 9741 in Virginia is not on Rate Sheet effective 4/1/2025.
 - Search Circulars for Class or Stat Code.
In example, FYI-VA-2021-01 is Withdrawal of Item Filing VA-2021-01; therefore, Stat Code 9741 is not valid in Virginia.
 - In **Class Look-Up** tool a search example for Catastrophe in Virginia returns Stat Code 9740 is approved in Virginia.
 - Update Exposure Record 05 with the valid example, Stat Code 9740 in Virginia.



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Researching and Correcting Policy and POC Edits

Edit 0234-03

- Error
 - Edit 0234-03—Industry Code
 - Address Record (Record Type 03)
 - Six-digit Industry Code is invalid or missing
 - Data Grade 4
- Correct the Error
 - Reference resources include:
 - Report a valid NAICS code
<https://www.census.gov/eos/www/naics/>
 - **POC State Guide** at ncci.com
 - Data Elements Requirement Chart in **Policy and POC Reporting Guidebook** lists data elements as required, optional, conditional, or preferred by state.

Edit 0236-04

- Error
 - 0236-04 State Code
 - Exposure Record (Record Type 05)
 - Exposure Record submitted without corresponding State Premium Record
 - Data Grade 8
- Correct the Error
 - Confirm the insured operates in additional state(s)
—In example using **Policy Data Collection** tool, select Add State and Link to New Exposure
 - Add State Premium Record
 - Update Total Estimated Standard Premium on the Header Record (Record Type 01)

Edit 0126-02

- Error
 - Edit 0126-02—Name Link Identifier
 - Name Record (Record Type 02)
 - Name not linked to an address
 - Data Grade 7
- Correct the Error
 - Using **Policy Data Collection** tool, navigate to the Names Record
 - Select the pencil to the name to open the pop-up
 - Select either Link to New Address or Link to Existing Address



Edit 0135-01

- Error
 - Edit 0126-02—Type of Non-Standard ID Code
 - State Premium Record (Record Type 04)
 - Field is blank or contains an invalid value
 - Data Grade 4
- Correct the Error
 - Using **Policy Data Collection** tool, select an option listed in drop-down menu
 - Save and Submit changes

Edit 0037-19

- Error
 - New Edit 0037-19—Class Code
 - Exposure Record (Record Type 05)
 - Report only one Balance to Minimum Premium Statistical Code 0990 on the Exposure Record.
 - Data Grade 9
- Correct the Error
 - Only one Balance to Minimum Premium Stat Code is allowed on the Exposure Record per policy
 - Stat Code 0990 is reported for a single state with the highest minimum premium

Edits Upgraded to a Data Grade 8—Record Reject

- Edit 0052-01—Deductible Amount per Claim/Accident
 - Record Type 43—Deductible Endorsement Record
 - Field is blank or contains non-numeric characters
 - Data Grade 8
- Edit 0054-01—Deductible Percent
 - Record Type 43—Deductible Endorsement Record
 - Field is blank or contains non-numeric characters
 - Data Grade 8

Chapter 5: Proof of Coverage (POC)

Background

- Verifies that employers have workers compensation
- NCCI provides key coverage information
 - Industrial accident boards
 - Department of Labor
 - Workers compensation commissions
- POC is state specific



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Where to Find State Requirements

- *POC State Guide*
- *Policy and POC Reporting Guidebook*

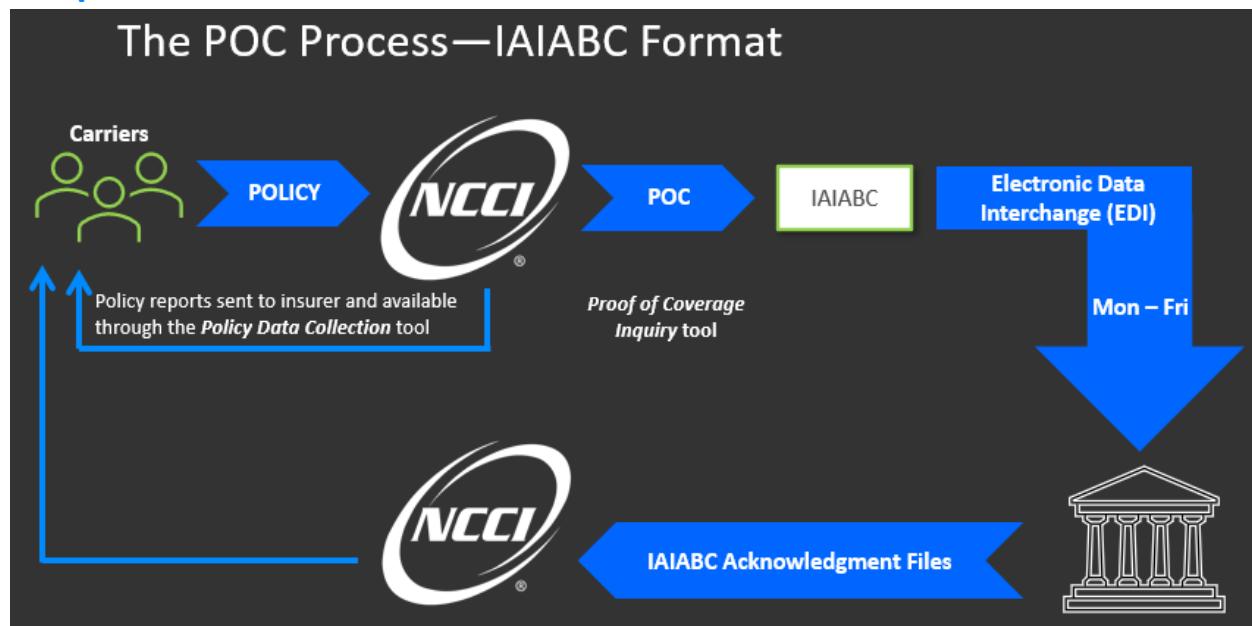
Importance of POC

- States' daily functions
- Data accuracy
- Research and development of internal reports
- Ensures compliance

How Do States Verify POC?

- Proof of Coverage Inquiry (POCI)
- States' internal systems
- Employer communication
- Other states' regulatory agencies
- Anonymous tips

Chapter 6: The POC Process



1. Carriers report their Policy Data to NCCI.
2. We then process the data and return Policy Data reports to the carriers to assist with taking any necessary corrective action.
3. The data is then sent in the International Association of Industrial Accident Boards and Commissions (IAIABC) format as a file to the states Monday through Friday. The state will process the file in one to two days.
4. This information is also made available to POC State Regulators through our POC Inquiry Tool.



Data Now Program (DNP) Researching and Correcting Policy and POC Edits

5. Some states will process the data through their database and will send Acknowledgement files back to NCCI.
6. NCCI will then process the Acknowledgment files and return POC data reports to the carrier that are accessible through the Data Reports tool.

The screenshot shows the NCCI Data Reports website. At the top, there is a navigation bar with links for Policy, Unit, URC, DCI, Tools and Information, and About. The Policy link is highlighted. On the left, there is a sidebar with buttons for NCCI Generated, Customer Generated, and My Queue. The main content area is titled 'Policy' and shows a dropdown menu titled 'Reports' with the following options:

- Please select a Report –
- Please select a Report –
- Assigned Risk Binder Number Report
- IAIABC POC Coverage Provider Accepted Report
- IAIABC POC Coverage Provider Monthly Outstanding Reject Report
- IAIABC POC Coverage Provider Reject & Error Report
- Monthly Outstanding Noncompliance Report
- Noncompliance/Compliance Reject Report
- Policy Certification Submission Results Report
- Policy Daily Submission Results Report
- Policy Monthly Outstanding Data Grade 7 Report
- Policy Pre-Edit Service Submission Results Report
- Policy Submission Results Report

Chapter 7: POC Data Reports

Policy Data Reports vs. IAIABC POC Data Reports

- Policy
 - Policy reports
 - Data Grade Edits
 - Resolves immediately once corrected
- POC
 - IAIABC POC reports
 - State Reject or Error
 - Takes a few days for the state to receive corrections

POC Data Reports

- POC Transaction Report
 - POC Transaction, Policy, and Employer information sent to the state
- IAIABC POC Coverage Provider Accepted Report
 - POC transactions that were accepted
- IAIABC POC Coverage Provider Reject & Error Report
 - POC transactions that were rejected or in error
- IAIABC POC Coverage Provider Monthly Outstanding Reject Report
 - POC transactions that were rejected



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IAIABC POC Coverage Provider Reject & Error Report

Create Date: 01/07/2021			National Council on Compensation Insurance, Inc. Coverage Provider Group ID: 99999 - DEP INSURANCE IAIABC POC Coverage Provider Reject & Error Report - January, 07 2021														
Cov Prvdr ID	NCCI Branch Code	Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data	Rec Seq Nbr	POC File Name	
99999	000	Cobblers on 5th	DEPFL0001	12/13/2020	09-FL	14	12/12/2020	00/31/54	12/13/2020	12/13/2020	Reject	Error Description: Mandatory Field Not Present	Industry Code	Employer Record Name: Cobblers on 5th Nm Type: P/C Code: FEIN: 587963156 Address: 2900 NW 55TH ST City: MIAMI State: FL Zip Code: 331221113 Legal Status: Ind Cd: UI Nbr: Nbr of Emps: 2 Email: Emp Notify Date:	3602	FL18256	

1. Cov Prvdr ID—Carrier Code—Key Field.
2. NCCI Branch Code—Branch listing for each carrier group.
3. Primary Insured Name.
4. Policy Number—Key Field.
5. Policy Effective Date—Key Field.
6. State—Identifies the POC state in error.
7. Pol Trans Code—Shows type of transaction. Verify that it is what you intended.
8. NCCI Trans Receive Dt—Date NCCI received the transaction.
9. IAIABC Triplicate Code—Identifies the actual POC transaction the state gets. In this example, 31 means an add and 54 means an employer location. Add Employer.
10. Trans Set Type Eff Dt—Date on which the transaction is effective.
11. Dt State Processed Trans—Date the state processes the transaction.
12. Error/Reject Type—Rejects are the most common acknowledgment from the states, but some states will accept transactions with errors. However, keep in mind that they still expect errors to be corrected. This report is the only report that will show you transactions that were rejected or identified with errors by the POC state. The Monthly Outstanding Report will only include POC transactions that were rejected by the POC state, but you will not see any of the errors.
13. Error Description—The general reason for the error or reject.
14. Data Element in Error—Helps to better identify the issue.
15. Supporting Data—Shows specifically what employer record is in error and what was reported.
16. Req Seq Nbr and POC File Name—Used more by NCCI to help us identify and assist carriers with resolving issues.



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Researching and Correcting Policy and POC Edits

Chapter 8: Most Common Rejects and Errors

Example 1: Florida—Mandatory Field Not Present—Industry Code

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
Cobblers on 5th	DEPFL0001	12/13/2020	09-FL	14	12/12/2020	00/31/54	12/13/2020	12/13/2020	Reject	Error Description: Mandatory Field Not Present	Industry Code	Employer Record Name: Cobblers on 5th Nm Type: P/C Code: FEIN: 587963156 Address: 2900 NW 55TH ST City: MIAMI State: FL Zip Code: 331221113 Legal Status: Ind Cd: UI Nbr: Nbr of Emps: 2 Email: Emp Notify Date:

- What is in error?
- How can we tell?

Tips for Correcting the Error

- Do not correct the Data Grade 7 on the same day you originally submitted the policy
 - Doing so will cause the state to reject the correction
- Industry code needs to be a valid North American Industry Classification System (NAICS) code
- Make sure your codes are up to date—NAICS are updated every five years
- Refer to the **POC State Guide** to see which codes a state requires

Example 2: Maine Unemployment Identification (UI) Number—Not Statutorily Valid

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
NATURAL PAPER CO	DEPME0022	12/15/2020	18-ME	01	12/25/2020	00/10/01	12/15/2020	12/26/2020	Reject	Error Description: Not statutorily valid State Comments: 0849 0930 Error Text: Employer UI Code (DN0329) check digit is NOT valid	Employer UI Code	Employer Record Name: NATURAL PAPER CO Nm Type: P/C Code: FEIN: 15458614 Address: 2424 FIELD AVE City: YORK State: ME Zip Code: 24685 Legal Status: Ind Cd: 424110 UI Nbr: 261701006 Nbr of Emps: 0 Email: Emp Notify Date:

- How can we tell this is a new business transaction?
- What is in error?
- How can we tell if it is in error?



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Tips for Correcting the Error

Check the *POC State Guide*:

POC Data Reporting Requirements	
Data Elements:	<ul style="list-style-type: none">▪ State Unemployment Number—An Employer Account Number (EAN), formerly called an Unemployment Insurance Account Number/Code (UIAN), is required for all employers having a location or employees in Maine. For new policies where the employer is a new entity, the EAN may not be known at the time of submission. In this instance, there is a default number 0000000002. Also, if an employer in the state of Maine is not required to pay unemployment compensation, a nonprofit for example, the default UIAN is 0000000003.▪ State Unemployment Number—If the EAN number is unavailable after trying to get the number from the employer, please email the Maine WCB at EDI.WCB@maine.gov. The request should contain the name, address, FEIN, and policy number of the employer. <p>Industry Code—A valid 2012, 2017, or 2022 North American Industry Classification System (NAICS) code must be reported.</p> <ul style="list-style-type: none">▪ Refer to the POC Data Element Requirements Chart located in NCCI's <i>Policy and Proof of Coverage (POC) Reporting Guidebook</i> for all requirements
Address Reporting:	<ul style="list-style-type: none">▪ A valid address is required for all employers with a location in Maine.▪ When there is no physical location in the state, Maine will accept Employer Names linked to:<ul style="list-style-type: none">▪ Address Type 6—No Physical Location or an Address Type 2—Location of Operations with an Out-of-State Address reported with State Code Link 18▪ The out-of-state address is preferred.
State Processing Exceptions:	<ul style="list-style-type: none">▪ Maine provides additional error codes on the IAIABC Coverage Provider Error and Reject Reports to assist in correcting errors. The Maine IAIABC Code Reference Table (PDF) contains the code descriptions.



Data Now Program (DNP)
Researching and Correcting Policy and POC Edits

Example 3: Rhode Island UI Number—Mandatory Field Not Present

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC TriPLICATE Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
LIBERTY UTILITY SERVICES	DEPRI0003	12/01/2020	38-RI	14	11/13/2020	00/31/87	02/01/2020	11/14/2020	Error	Error Description: Mandatory Field Not Present	Employer UI Code	Employer Record Name: LIBERTY UTILITY SERVICES Nm Type: P/C Code: FEIN: 333486517 Address: City: Zip Code: Legal Status: Ind Cd: 339113 UI Nbr: Nbr of Emps: 0 Email: Emp Notify Date: State:

- What is the issue?
- How can we tell?

Tips for Correcting the Error

- Rhode Island returns an error rather than a reject
- Check the **POC State Guide**:

POC Data Reporting Requirements

Data Elements:

- State Unemployment Number—The Rhode Island Department of Labor and Training requires the Unemployment Identification Number (UI)—also known as the Employer Registration Number (ERN)—data element to be reported for POC purposes.

If the UI or ERN is not available for one of the following reasons, report the corresponding default codes:

- Not Available—When the insurer cannot get the UI Number for an established employer, report the default code “0000000001.”
- New Employer—The UI Number is issued by the Rhode Island Division of Taxation after the employer has payroll. For new employers waiting for the assignment of a UI Number, report the default code “0000000002.”
- Exempt Employer—For employers exempt per RIGL Section 28-42-8 that are not eligible for a UI Number, report the default code “0000000003.”
- If Any Policy—Employers without employees in Rhode Island are not eligible for a UI Number. In this event, report the default code “0000000004.”
- Exposure Without Payroll—For an employer with Rhode Island exposure and without Rhode Island payroll, report the default code “0000000004.”

- Refer to the POC Data Element Requirements Chart located in NCCI's *Policy and Proof of Coverage (POC) Reporting Guidebook* for all requirements

Address Reporting—No Physical Location:

- When there is no physical location in the state, Rhode Island will accept Employer Names linked to:
 - Address Type 6—No Physical Location
 - Address Type 2—Location of Operations with an Out-of-State Address reported with State Code Link 38
 - The out-of-state address is preferred

State Processing Exceptions:

- None



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Researching and Correcting Policy and POC Edits

Example 4: Idaho Email Address—Mandatory Field Not Present

Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data	
											Employer Record Name: DNP GROUP LLC Nm Type: P/C Code: FEIN: 099403541 Address: 2300 DIAMOND HILL RD City: Boise State: ID Zip Code: 837124747 Legal Status: Ind Cd: 561499 Ul Nbr: Nbr of Emps: 8 Email: Emp Notify Date:	
DNP10001	10/01/2022	11-ID	02	10/02/2022	00/20/01	10/01/2022	10/03/2022	Reject	Error Description: Mandatory Field Not Present.	Employer Email Address	Employer Record Name: DNP GROUP LLC Nm Type: P/C Code: FEIN: 099403541 Address: 2300 DIAMOND HILL RD City: Boise State: ID Zip Code: 837124747 Legal Status: Ind Cd: 561499 Ul Nbr: Nbr of Emps: 8 Email: Emp Notify Date:	

1. What type of transaction?
2. What is the error?

Federal Employer ID Number (FEIN) Edits

A Data Grade 7 edit will fire for the following:

- All the same numeric value
- Number sequences, such as 012345678
- Zeros in the last seven positions
- An invalid number pattern

New York State Processing

- Despite a 1% reject rate, New York makes up almost 25% of all transactions
- Continuous coverage—can contribute to rejects
- New York State Workers' Compensation Board (WCB) website
 - State will close out expired policies

Example 5: New York Duplicate Batch/Transaction—Policy Number

An example of a New York error:

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
BIG APPLE HOLDING CO	DEPNY0004	12/22/2020	31-NY	02	11/26/2020	00/20/01	12/22/2020	11/27/2020	Reject	Duplicate Batch/Transaction	Policy Number	Insured Record DEPNY0004

What is the issue?

Additional Research

Use New York's WCB website:

- Search by FEIN

Transaction List for Policy number DEPNY0003														
Trans-Detail	Processed Date	Acknowledged	Transaction Status	Received Date	Medium	Trans Eff Date	Triplicate	Transaction Type	Carrier ID	Policy Number	Policy Effective	Policy Expire	Insured Fein	Insured Name
Details	11/26/2020	Accepted	Processed	11/26/2020	FTP	12/22/2020	00-42-60	Canceled by Insured Include Corp Off/Partner/Sole Prop	w000000	DEPNY0003	12/22/2020	12/22/2021	999999999	BIG APPLE HOLDING CO
Details	10/15/2020	Accepted	Processed	10/15/2020	FTP	12/23/2020	00-32-67		w000000	DEPNY0003	12/22/2020	12/22/2021	999999999	BIG APPLE HOLDING CO
Details	10/15/2020	Accepted	Processed	10/15/2020	FTP	12/24/2020	00-20-01	Renewal Policy	w000000	DEPNY0003	12/22/2020	12/22/2021	999999999	BIG APPLE HOLDING CO

- Note that the policy number differs from the IAIABC report



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Correct the Error

- Use a Key Field Change instead of submitting a renewal transaction to avoid a late-reporting penalty. If you are unable to submit a Key Field Change, instead send a new business transaction for a renewal.

Example 6: New York Invalid Event Sequence—Transaction Set Type Code

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processe d Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
CANAL STREET IMPORTS	DEPNY6600	12/15/2020	31-NY	02	11/26/2020	00/20/01	12/15/2020	11/27/2020	Reject	Error Description: Invalid event sequence	Transaction Set Type Code	Insured Record 20

- What type of transaction?
- What is the issue?

Additional Research

Use New York's WCB website:

- Search by policy number

Transaction List for Policy number DEPNY6600														
Trans-Detail	Processed Date	Acknowledge	Transaction Status	Received Date	Medium	Trans Eff Date	Triplicate	Transaction Type	Carrier ID	Policy Number	Policy Effective Date	Policy Expire Date	Insured Fein	Insured Name
Details	11/27/2020	Rejected	Rejected	11/27/2020	FTP	12/15/2020	00-20-01	Renewal Policy Include Corp	w000000	DEPNY6600	12/15/2020	12/15/2021	9999999999	CANAL STREET IMPORTS
Details	11/15/2020	Accepted	Processed	11/15/2020	WEB	12/15/2020	00-32-67	Off/Partner/Sole Prop	w000000	DEPNY6600	12/15/2020	12/15/2021	9999999999	CANAL STREET IMPORTS
Details	11/15/2020	Accepted	Processed	11/15/2020	WEB	12/15/2020	00-20-01	Renewal Policy	w000000	DEPNY6600	12/15/2020	12/15/2021	9999999999	CANAL STREET IMPORTS

- Note for “WEB” under Medium—used when carriers submit a change directly to the New York website

Correct the Error

Contact NCCI to:

- Manually remove the reject
- Advise you in necessary corrections

Example 7: New York Invalid Event Sequence—Transaction Set Type Code

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processe d Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
FAST TAXI CO	DEPNY70070	7/10/2020	31-NY	02	11/26/2020	00/20/01	7/10/2020	11/27/2020	Reject	Error Description: Invalid event sequence	Transaction Set Type Code	Insured Record 20

- What is the issue?

Additional Research

- Use New York's WCB website.
- Search by policy number.



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Transaction List for Policy number DEPNY70070														
Trans-Detail	Processed Date	Acknowledge	Transaction Status	Received Date	Medium	Trans Eff Date	Triplicate	Transaction Type	Carrier ID	Policy Number	Policy Effective Date	Policy Expire Date	Insured Fein	Insured Name
Details	10/10/2020	Accepted	Processed	10/10/2019	WEB	10/10/2020	00-41-CE	WCB Closed Term- No Filing Received	w000000	DEPNY70070	7/10/2019	7/10/2020	9999999999	FAST TAXIE CO
Details	5/1/2019	Accepted	Processed	5/1/2019	FTP	7/10/2019	00-32-67	Off/Partner/Sole Prop	w000000	DEPNY70070	7/10/2019	7/10/2020	9999999999	FAST TAXIE CO
Details	5/1/2019	Accepted	Processed	5/1/2019	FTP	7/10/2019	00-20-01	Renewal Policy	w000000	DEPNY70070	7/10/2019	7/10/2020	9999999999	FAST TAXIE CO

- Note “WEB” under Medium.
- WCB closed out the prior policy term. We can tell from the Triplicate and Transaction Type.

Correct the Error

- Contact NCCI for direction
- Reinstate the prior term on the New York website

Other State Websites

These states also have websites that are inquiry only:

- Kentucky
- Florida
- Nebraska
- Oregon

State Processing in Maine

- Only makes up 3% of POC transactions but 27% of rejects
- Identifies employers by matching:
 - Address
 - FEIN
 - UI Number (Employer Account Number)
 - This can cause some rejects of out-of-state primary insureds
- Returns errors

Example 8: Maine Invalid Data Relationship

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
BANK CORP	DEPME0009	8/15/2020	18-ME	02	08/15/2020		00/20/01	11/10/2020	08/16/2020	Reject	Employer FEIN	Employer Record Name: BANK CORP Nm Type: P/C Code: FEIN: 817082127 Address: 52 ADAMS ST City: GARDINER State: ME Zip Code: 043451808 Legal Status: Ind Cd: 522110 UI Nbr: 0274300000 Nbr of Emps: 1 Email: Emp Notify Date:

- What type of transaction?
- What is the issue?



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Correct the Error

Contact the state to validate the reported FEIN and UI Number combination.

Example 9: Maine No Match on Database—Prior Policy Number

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
UNIVERSITY BOOKS AND MORE	DEPME111	12/01/2020	18-ME	02	08/04/2020	00/20/01	12/01/2020	08/05/2020	Reject	Error Description: No match on database State Comments: 0834 Error Text: Prior Policy Number (DN0324) is NOT in the WCB database	Prior Policy Number	Insured Record DEPME0707

- What type of transaction?
- What is the issue?

Additional Research

Check whether prior term was also rejected.

Correct the Error

- Go back to the first rejected term and get that policy accepted
- Contact NCCI for assistance

State Processing in Kentucky

- Makes up 8% of rejects
- State website
- Because of continuous coverage, a prior policy number can cause issues
- Will reject addresses not validated by US Postal Service
- Current coverage only—if a change is reported on multiple previous policy years, KY will only accept the first change reported

Example 10: Kentucky No Match on Database—Prior Policy Number

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
TOUR CO	DEPKY121212	12/06/2020	16-KY	02	12/25/2020	00/20/01	12/06/2020	12/26/2020	Reject	Error Description: No match on database	Prior Policy Number	Insured Record DEPKY000817

- What type of transaction?
- What state?
- What is the issue?

Correct the Error

- Error occurred because:
 - KY is still on the POC 2.1 file format, which does not include “Reason State Was Added to Policy—Added at Time of Renewal”



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- KY is continuous coverage, so they look for that prior policy number
- Contact NCCI to resubmit the transaction as an “Add jurisdiction”

Example 11: Kentucky Mandatory Field Not Present—Employer Address Line 1

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
GRIFTH'S FEED AND SUPPLY	DEPKY140014	11/01/2020	16-KY	08	12/13/2020	00/31/54	11/01/2020	12/14/2020	Reject	Error Description: Mandatory Field Not Present	Employer Address Line 1	Employer Record Name: GRIFTH'S FEED AND SUPPLY Nm Type: P/C Code: FEIN: 987963147 Address: 1 MAIN ST City: FRANKFORT State: KY Zip Code: 40601 Legal Status: Ind Cd: 236220 UI Nbr: Nbr of Emps: 7 Email: Emp Notify Date:

- What is the state?
- What is the type of transaction?
- What is the issue?

Additional Research

Check the **POC State Guide** to determine whether the state accepts Address Type 6.

Correct the Error

- Delete the incorrect Address Record
- Add the corrected Address Record

Example 12: Nebraska Duplicate Batch/Transaction—Entire Transaction

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processed Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
TEDS CUSTOM TRUCKS	DEPNE151515	09/15/2020	26-NE	08	08/21/2020	00/31/87	09/15/2020	08/22/2020	Reject	Error Description: Duplicate Batch/Transaction	Entire Transaction	Employer Record Name: TEDS CUSTOM TRUCKS Nm Type: P/C Code: FEIN: 6641258743 Address: City: Zip Code: Legal Status: Ind Cd: 335999 UI Nbr: Nbr of Emps: 6 Email: Emp Notify Date: State:

- What is the state?
- What is the issue?



Data Now Program (DNP) Researching and Correcting Policy and POC Edits

Additional Research

Check the **POC State Guide**:

POC Data Reporting Requirements												
Data Elements:												
<ul style="list-style-type: none">Refer to the POC Data Element Requirements Chart located in NCCI's <i>Policy and Proof of Coverage (POC) Reporting Guidebook</i> for all requirements												
Address Reporting—No Physical Location:												
<ul style="list-style-type: none">When there is no physical location in the state, Nebraska will accept Employer Names linked to:<ul style="list-style-type: none">Address Type 6—No Physical LocationAddress Type 2—Location of Operations with an Out-of-State Address reported with State Code Link 26The out-of-state address is preferredNebraska will reject an employer linked to an Address Type 6—No Physical Location if that same employer is already linked to a Nebraska address												
State Processing Exceptions:												
<ul style="list-style-type: none">Nebraska will reject a POC transaction and require an explanation when the state is being readded to a policy. If this occurs, contact NCCI to resend the POC transaction.												

Correct the Error

- Delete the no specific location
- When the system processes the delete overnight, it will remove the reject

Example 13: Florida Must Be Valid Content—Transaction Set Type Eff Dt

Primary Insured Name	Policy Number	Pol Eff Dt	State	Pol Trans Code	NCCI Trans Receive Dt	IAIABC Triplicate Code	Trans Set Type Eff Dt	Dt State Processe d Trans	Error / Reject Type	Error Description	Data Element in Error	Supporting Data
EMP 2 GO PEO III	DEPFLPEO0180	10/01/2020	09-FL	14	07/01/2020	00/31/54	12/18/2020	07/4/2020	Reject	Error Description: Must be valid content	Transaction Set Type Eff Dt	Employer Record Name: EMP 2 GO PEO III Nm Type: P/C Code: FEIN: 887721346 Address: 4949 TAMAMI TRL N City: NAPLES State: FL Zip Code: 34103 Legal Status: Ind Cd: 561730 UI Nbr: Nbr of Emps: 50 Email: Emp Notify Date:

- What is the issue?

Additional Research

Was the employer previously added to the policy with a different effective date?



Correct the Error

- Florida will only accept a 10/01/2020 effective date
- It is important to understand each state's reporting rules
- If you need to add the employer back, you must add it back as of the original effective date for the state to accept it

NCCI Tips to Avoid POC Edits

- Report Policy Data consistently year over year
- Avoid reporting false data
- Make the same changes in **PDC** system and your source system

Chapter 9: Key Takeaways

- Work your Policy and POC reports daily
- Report accurate data and make corrections when necessary
- Wait a day after submission before making corrections to Data Grade 7 on establishing coverage transactions
- POC rejects and errors take time to resolve
- States will return different reject or error reasons for the same issue

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