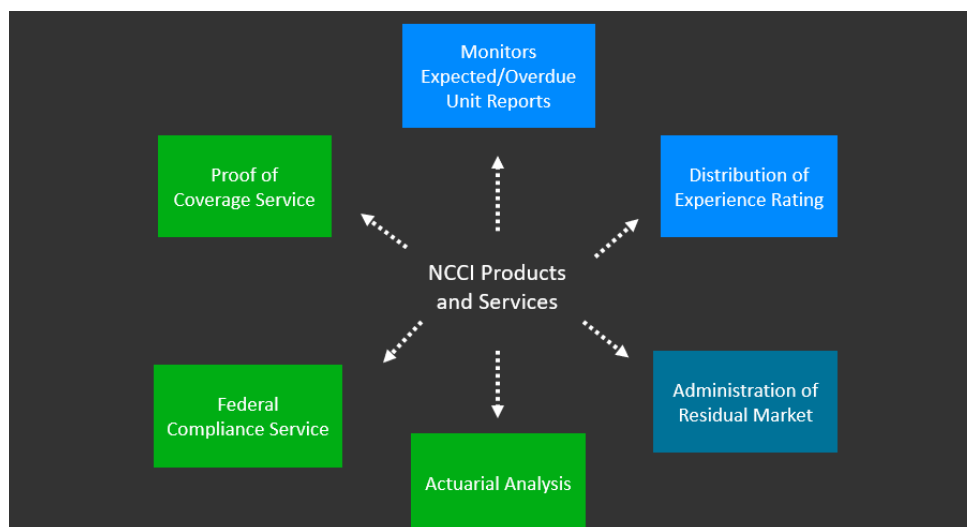




Chapter 1: NCCI Policy Edit Strategy

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

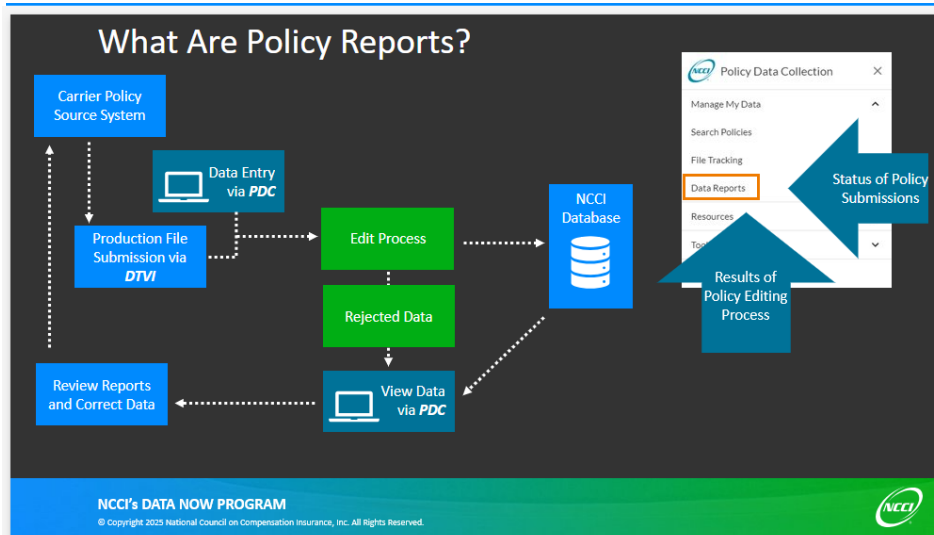
- NCCI Policy Data Edits
 - Performed on all Policy Data
 - Indicates if corrective action is needed
- State Proof of Coverage (POC) Edits
 - Specific data elements
 - Compliance issues

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



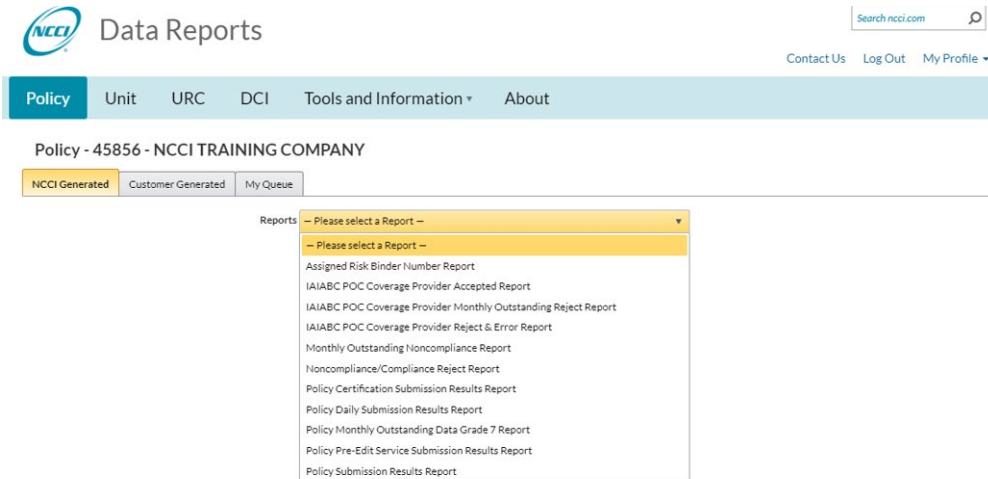
Data Now Program (DNP) Researching and Correcting Policy and POC Edits



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 (DTVI)**—File Tracking, Policy, Go to Report
 - **Policy Data Collection tool (PDC)**—Data Reports

NCCI-Generated Reports



- Policy Submission Results Report
 - Created upon a file submission
 - Details all transactions that received an edit
- Policy Daily Submission Results Report
 - A daily report
 - Includes policy transactions or records
 - Submitted the prior day
- Policy Monthly Outstanding Data Grade 7 Report
 - Monthly Report



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

- Policy transactions
- A record(s) has an outstanding Data Grade 7
- Policy Pre-Edit Service Submission Results Report
 - File submission results
 - Processed via NCCI's **Policy Pre-Edit Service**

Customer-Generated Policy Reports

NCCI Data Reports

Search ncci.com

Contact Us Log Out My Profile

Policy Unit URC DCI Tools and Information About

Policy - 45856 - NCCI TRAINING COMPANY

NCCI Generated Customer Generated My Queue

Reports -- Please select a Report --

- Please select a Report --
- POC Transaction Report
- Policy Reject and Error Report
- Policy Risk ID Report

- Policy Reject & Error Report
 - Identifies rejects and errors resulting from customized criteria
- Policy Risk ID Report
 - Provides a list of policies with associated Risk ID

Chapter 3: Policy and POC Reporting Guidebook Editing Process

Edit Matrix Access

Policy and POC Reporting Guidebook

- Change Tracking Guide
- Part 1—Guidebook Overview
- Part 2—General Reporting Requirements
- Part 3—Electronic Policy Reporting
- Part 4—Data Element Requirements by Record and Transaction Type
- Part 5—Additional Electronic Reporting Requirements
- Part 6—Name and Address Reporting Requirements
- Part 7—PEO Employee Leasing Policies
- Part 8—Assigned Risk Policies
- Part 9—Unit Report Control (URC) Program
- Part 10—Proof of Coverage (POC)
- Part 11—Federal Coverage Service
- Part 12—Editing and Data Quality
- Part 13—Policy Edit Matrices
- Part 14—Policy Data Dictionary
- Part 15—Hard Copy Policy Reporting
- Manual in PDF Format
- Edit Matrix Access



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

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 09/17/2024—Current PDF

Policy Edit Matrix Production



POLICY EDIT MATRIX—PRODUCTION (August 2, 2024, 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 City 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 City 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.

Explanation of Edit Numbers

Edit number is a unique six-digit identifier:

- Data Element Number
- Edit Sequence Number

0004-09

Data Element Number

Edit Sequence Number

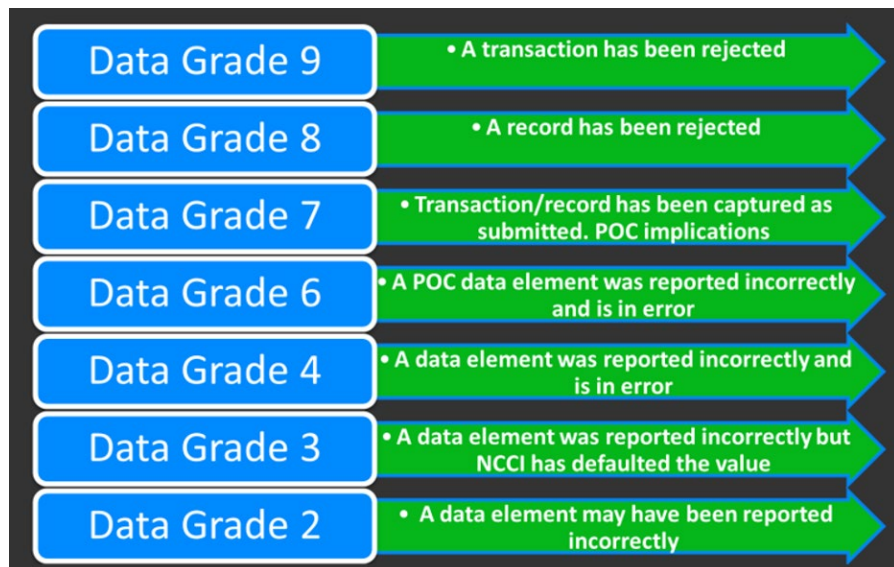


Data Now Program (DNP) Researching and Correcting Policy and POC Edits

Edit Types

- Field
 - Ensure that the value in each field is acceptable according to the submission guidelines
 - Example: The Deductible Amount Per Claim/Accident field is blank or contains nonnumeric characters (0052-01)
- Logical
 - Verify that the data is reasonable in relation to one or more other fields
 - Example: The Basis of Deductible Calculation Code is 01, 02, 07, 08, 09, 10, or 11 and the Deductible Amount Per Claim/Accident is not greater than zero (0052-02)
- Relational
 - Compare the data in a specific field with another field contained in the same submission and/or previously submitted data
 - Example: The Estimated Exposure Amount field is missing or zero while the Estimated Premium Amount field is greater than zero (0067-05)

Data Grades



Chapter 4: Reviewing and Correcting Policy Edits

Edit 0004-09

- Error
 - 0004-09—Street Address
 - 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—on Address Record 03
- Correct the Error
 - According to the Guidebook, an Address Type 1 is considered a Location of Operation for proof of coverage purposes



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

Edit 0004-10

- Error
 - 0004-10—Address-Street
 - Address Record is reported with an Address Type 2 for a Location of Operation's Address with an invalid value such as "Various Locations"
 - Date Grade 4 on Address Record (Record Type 03)
 - Implemented: Fourth Quarter 2023
 - In Second Quarter 2025, Edit 0004-10 will be 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

Edit 0236-04

- Error
 - Edit 0236-04—State Code
 - An Exposure Record has been submitted without the corresponding State Premium Record (Record Type 04)
 - Data Grade 8
- Correct the Error
 - Verify if additional states should be added to the policy on the State Premium Record
 - Add the new state and link to new exposure
 - Update the Total Estimated Standard Premium on the Header Record

Edit 0037-11

- Error
 - Existing Edit 0037-11—Class Code
 - A deductible statistical code credit amount was reported, and the transaction does not include a Record Type 43—Deductible Endorsement Record
 - Modifying Data Grade 4 to 8 on Exposure Record (Record Type 05)
- Correct the Error
 - The deductible statistical codes are 9664, 9663 and 9657
 - Report a Deductible Endorsement Record 43 if reporting any of these class codes

Edit 0234-03

- Error
 - 0234-03 Industry Code
 - Industry Code is missing or invalid
 - Standard Industrial Classification (SIC)—No Longer Accepted
 - Address Record (Record Type 03)
 - Data Grade 4
- Correct the Error
 - Report a valid NAICS code



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

○ <https://www.census.gov/eos/www/naics/>

Edit 0314-01

- Error
 - 0314-01—Email Address
 - Field is Invalid
 - Address Record (Record Type 03)
 - Data Grade 3
- Correct the Error
 - Report a valid email format: username, the @ symbol and domain
 - At least one character before the @ sign and at least one character between the @ and . (dot)
 - Example: dnp@ncci.com
 - Correcting an Invalid Character
 - www.ascii-code.com

ASCII Table	ASCII Characters	ASCII Art	Articles	FAQ	Facts	History	Glossary	Compare	English	Resources
194	302	C2	11000010	À	Â		Â		Latin capital letter A with circumflex	
195	303	C3	11000011	Ã	Ã		Ã		Latin capital letter A with tilde	
196	304	C4	11000100	Ä	Ä		Ä		Latin capital letter A with diaeresis	
197	305	C5	11000101	Å	Å		Å		Latin capital letter A with ring above	
198	306	C6	11000110	Æ	Æ		Æ		Latin capital letter AE	
199	307	C7	11000111	Ç	Ç		Ç		Latin capital letter C with cedilla	
200	310	C8	11001000	È	È		È		Latin capital letter E with grave	
201	311	C9	11001001	É	É		É		Latin capital letter E with acute	

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

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?

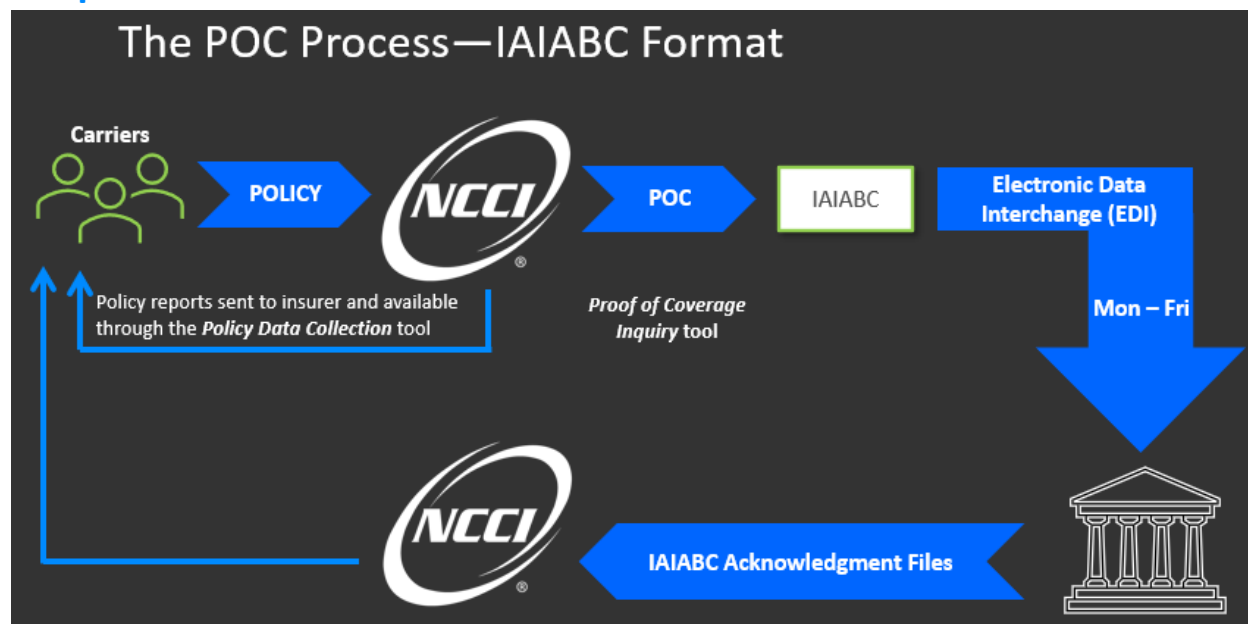
- Proof of Coverage Inquiry (POCI)



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

- 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.
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.



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

The screenshot shows the NCCI Data Reports web application. At the top, there is a search bar with the text "Search ncci.com" and a magnifying glass icon. Below the search bar are links for "Contact Us", "Log Out", and "My Profile". The main navigation bar includes "Policy", "Unit", "URC", "DCI", "Tools and Information", and "About". The "Policy" tab is selected. Below the navigation bar, there is a "Policy" section with three tabs: "NCCI Generated", "Customer Generated", and "My Queue". The "NCCI Generated" tab is active. To the right of the tabs is a "Carrier Group Code" input field and a "Search" button. Below the tabs, there is a "Reports" dropdown menu. The dropdown menu is open, showing a list of reports: "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", and "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



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

IAIABC POC Coverage Provider Reject & Error Report

Create Date: 01/07/2021			National Council on Compensation Insurance, Inc.													
Create Time: 03:22:38 PM			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.



Data Now Program (DNP) 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 vali	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?



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

Tips for Correcting the Error

Check the **POC State Guide**:

POC Data Reporting Requirements
<p>Data Elements:</p> <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.▪ Industry Code—A valid 2012, 2017, or 2022 North American Industry Classification System (NAICS) code must be reported.▪ 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 <p>Address Reporting:</p> <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. <p>State Processing Exceptions:</p> <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	DEPRI003	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:

- 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: <ul style="list-style-type: none">▪ 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:<ul style="list-style-type: none">▪ 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 <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, Rhode Island will accept Employer Names linked to:<ul style="list-style-type: none">▪ 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: <ul style="list-style-type: none">▪ None



Data Now Program (DNP) 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
DNPID001	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 UI 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	Acknowledgment	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	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	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	12/24/2020	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



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

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 Processed 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	Ack- nowledge	Transaction Status	Received Date	Med- ium	Trans Eff D ate	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	999999999	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	999999999	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	999999999	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 Processed 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	Ack- nowledge	Transaction Status	Received Date	Med- ium	Trans Eff D ate	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	999999999	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	999999999	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	999999999	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	Error Description: Invalid data relationship State Comments: 0748 0719 Error Text: Employer FEIN (DN0016) is not what WC has for UIAN/DN329 Error with the PC1 record	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: State: Zip Code: Legal Status: Ind Cd: 335999 UI Nbr: Nbr of Emps: 6 Email: Emp Notify Date:

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



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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 TAMiami 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



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- 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 bogus 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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