



Financial Data Collection Tool

User's Guide

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Financial Data Collection Main Page

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

- ❑ **Menu (1)**—Access to pages of the **Financial Data Collection** tool.
- ❑ **Recommended Workflow** section (2)—Recommended Workflow steps for reference.
- ❑ **Resources** (3)—Displays your assigned validator information and the latest updates made to the tool regarding submitting data and current processing for validation and submission.
- ❑ **System Alerts and Information Icon** (4)—Provides up to the minute information on system or data issues in the **Financial Data Collection**.
- ❑ **Summary Graph for Expected Calls** (5)*—Interactive Graph displaying the submission status of the Financial Calls Expected for your reporting group Click the main graph to display the information broken down by state.
- ❑ **Summary Graph for Outstanding Edits** (6)*—Interactive Graph displaying outstanding Edit (Open/Unexplained and Rejected edits) that require your attention. Click one of the main graphs to display the information broken down by state.
- ❑ **Summary Graph for the Message Center** (7)*—Interactive graph displaying the count of inquiries in Action Needed and Under NCCI Review. Click the graph to be directed to the Message Center page.
 Note: *If there is no applicable summary information for a particular graph, No Results Found will be displayed.

The screenshot shows the main page layout with the following elements and callouts:

- 1**: Points to the main navigation menu at the top left.
- 2**: Points to the Recommended Workflow section, which includes a sequence of steps: Update Deviations, Upload / Validate Calls, Address Edits, Submit Calls, and Sign Compliance Form.
- 3**: Points to the Resources section, which includes links for Your Validator and Season Updates.
- 4**: Points to the System Alerts and Information Icon in the top right corner.
- 5**: Points to the Expected Calls summary graph, which shows 307 Total calls (Not Submitted: 303, Submitted: 4).
- 6**: Points to the Edits summary graph, which shows 1 Outstanding edit (Open: 1, Rejected: 0).
- 7**: Points to the Message Center summary graph, which shows 109 Open inquiries (Action Needed: 10, Under NCCI Review: 99).

Below the summary graphs is a State Details section with a grid of state abbreviations and their corresponding status indicators. At the bottom, there are sections for NCCI (NCCI Homepage, Contact Us), QUICK LINKS (Data Manager Dashboard, Data Transfer via the Internet, Manuals Library), and LEGAL (Disclaimer).

Financial Data Collection Workflow

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

1. Review your Season Updates information in the Resources section of the **FDC** tool home page
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 **FDC**
 - 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. Search Call Data to view 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)
5. Validate Call Data by state via Call Data Main or Edit Main (ongoing as necessary)
6. Update Call Data via Call Data Main (ongoing as necessary)
7. View Call Data Edits (ongoing as necessary)
 - a. Add Explanations (as needed)
8. Delete Call Data for Pre-Submitted Calls (as needed; can only be completed before submitting a Financial Call)
9. Submit Call Data by state via Call Data Main or Edit Mode
10. Financial Data Compliance Form
 - a. Complete questions in Self-Audit section
 - b. Complete Electronic Signature
 - c. Submit Financial Data Compliance Form
11. View and Respond to Notifications (as needed)
12. Create a Correction (as needed)
13. Print Financial Calls (as needed)
 - a. View Print Request Queue (as needed)
14. View and Respond to Message Center Inquiries (as needed)
15. Create, Edit, and View an **ADQIP** Appeal

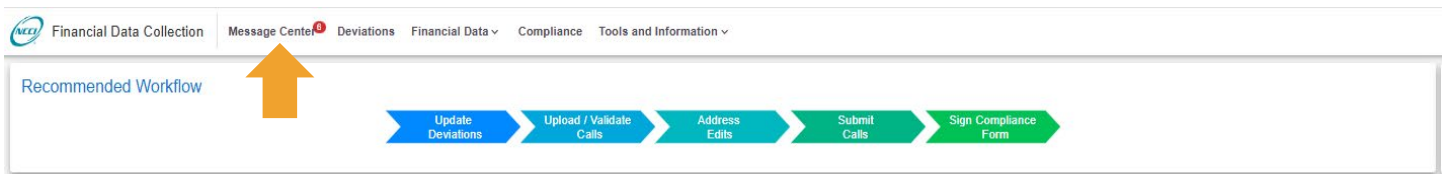
Message Center

View the Latest Inquiries and Associated Messages

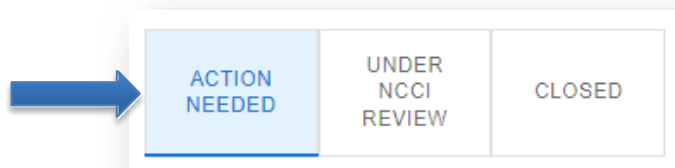
The **Message Center** allows you to view and respond to any inquiries your validator has about your Financial Call data.

Follow the steps below to view and respond to inquiries in the Message Center.

1. Select **Message Center** from the main menu.



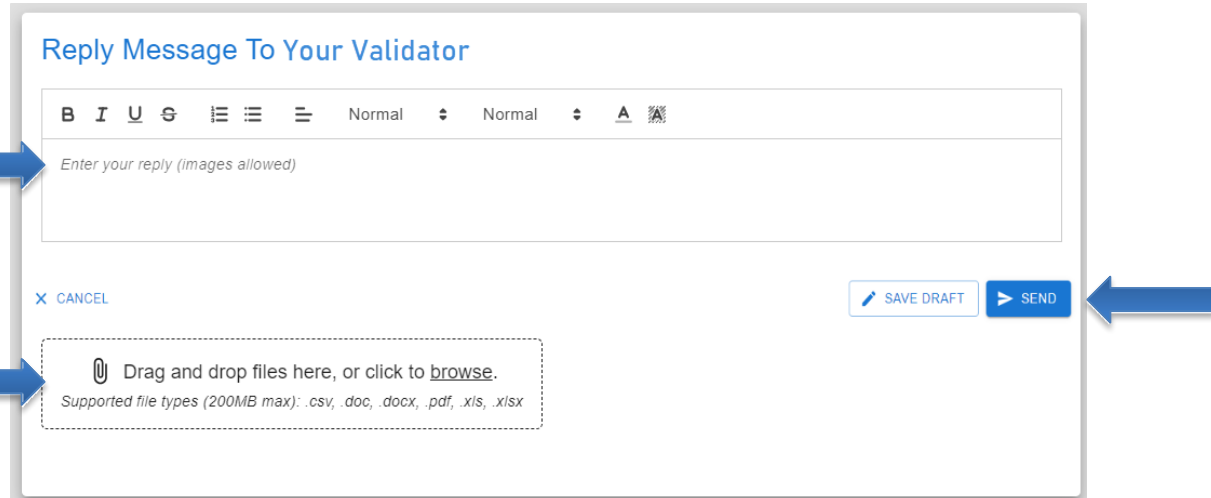
2. View list of inquiries that need your review located in your ACTION NEEDED tab.



3. Select an inquiry to review from the list. The message from your validator will be in the reading pane. This will include details about the data being questioned.
4. Select **REPLY** to open the edit box.



5. Type your reply in the text editor box. If necessary, copy/paste images into the text editor box and/or attach supporting documentation.
6. Click **SEND** to submit your completed response to your validator.



7. The inquiry will show in the UNDER NCCI REVIEW tab once you Reply to the message.
8. The inquiry will show in the CLOSED tab once your validator has reviewed and marked the inquiry closed.

Searching:

9. You can search for inquiries using the Search option at the top. Search for inquiries based on:
 - Carrier Code—The numeric code assigned to the data provider (insurer) by NCCI
 - Due Date—The NCCI assigned date that a response or corrective action is required
 - ID—A unique NCCI-generated number to identify the message
 - Inquiry Type—The NCCI assigned category identifying the type of inquiry
 - State—The state where the data was reported



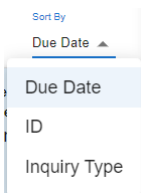
10. Input or select additional criteria to further narrow down your search.
11. Select **X** to remove a search criterion.

The additional features are available in the Message Center screen:

- **Refresh**—Refreshes the screen with the existing search criteria selected.



- **Sorting**—The options for sorting your messages. NCCI recommends that you address inquiries by the earliest due date.



- **Share**—Use to forward an inquiry from the Message Center as an email. The email will contain a link to the Message Center; the recipient must have **FDC** update access to reply to inquiries.



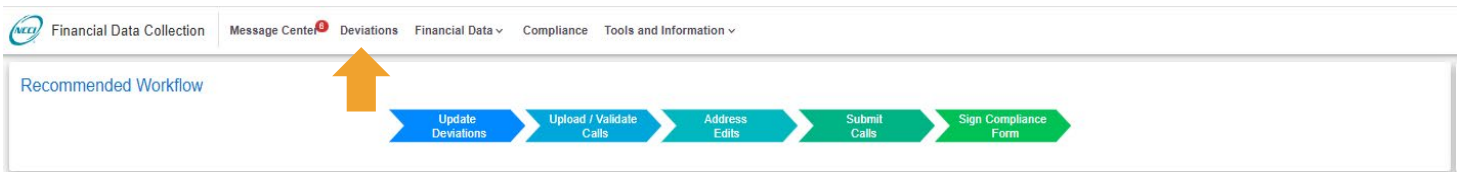
Deviations

View Deviations

The **Deviations** component allows you to view, add, or change deviation information. In addition, you can also choose to have an all-inclusive look at deviations for all states alongside NCCI DSR Level changes, 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 deviation.

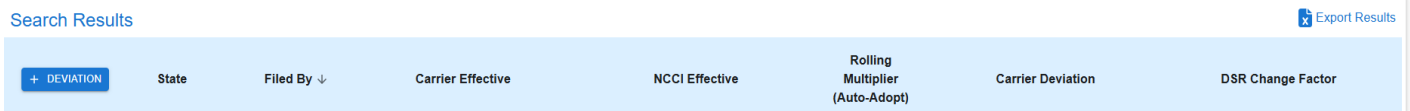
1. Click on **Deviations** from the menu.



2. The Deviation Results display with the following information:

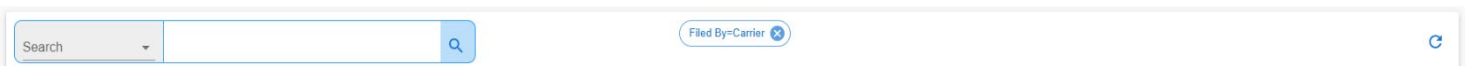
Associated Information:

- State
- Filed By (Shows Carrier Code or NCCI)
- Carrier Effective
- NCCI Effective
- Rolling Multiplier (Auto-Adopt)
- Carrier Deviation
- DSR Change Factor



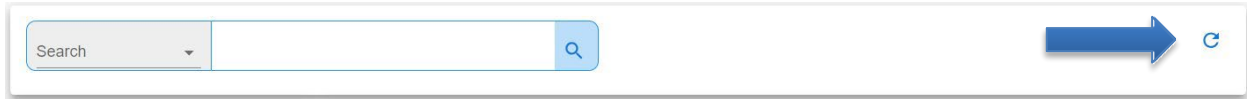
Searching:

3. You can search for deviations using the Search option at the top. Search for deviations based on:
 - Filed By—Who filed the LCM/rate or deviation (Carrier Code or NCCI) Default is Carrier Code only
 - Carrier Code—The numeric code assigned to the data provider (insurer) by NCCI
 - State—The state where the filing was filed



4. Input or select additional criteria to further narrow down your search.
5. Select **X** to remove a search criterion.

The additional features are available on the Deviation screen:



- **Refresh**—Refreshes the screen with the existing search criteria selected.
 - **Sorting**—The options for sorting your messages. NCCI recommends that you address inquiries by the earliest due date.
6. You now have the following options:
 - a. Add information that is missing on the Deviation Results table
 - b. Change information for deviations within the current valuation year
 - c. Export a report of the results as an Excel download
 7. When you are finished using the screen, you have the following options:
 - a. Click **Financial Data Collection** at the top left of the window to return to the application main page
 - b. Hover over another tab at the top of the window to access another component

Add a Deviation

The **Deviations** component allows you to add or change deviation information for all states

Follow the steps below to **Add** a deviation.

1. From the results screen, click the **+ Deviation** button
2. Make selections or entries into all fields

The screenshot shows a web form titled "Search Results" with an "Export Results" button in the top right. On the left, there is a "+ DEVIATION" button. The form has several columns: "State", "Filed By" (with a dropdown arrow), "Carrier Effective", "NCCI Effective", "Rolling Multiplier (Auto-Adopt)", "Carrier Deviation", and "DSR Change Factor". Below the columns, there is a row of input fields: "State" (dropdown), "Carrier" (dropdown), "Carrier Effective" (calendar icon), "NCCI Effective" (dropdown), "N/A" (text), "FILED" (button), "CALCULATED" (button with a blue circle icon), "X CANCEL" (button), and "▶ SAVE" (button). A note at the bottom left of the form says "All fields are required."


Notes:

- ❑ The Deviation Effective Date must be greater than or equal to the selected NCCI Effective Date
- ❑ The Deviation Amount value in the “+ Deviation” area on the left is calculated from the values entered in the “Add Weighted Deviation” area on the right

3. Click **Save**

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Follow the steps below to **Update** a deviation within the current valuation year or subsequent.

1. From the deviations screen, 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
3. Click **Save**

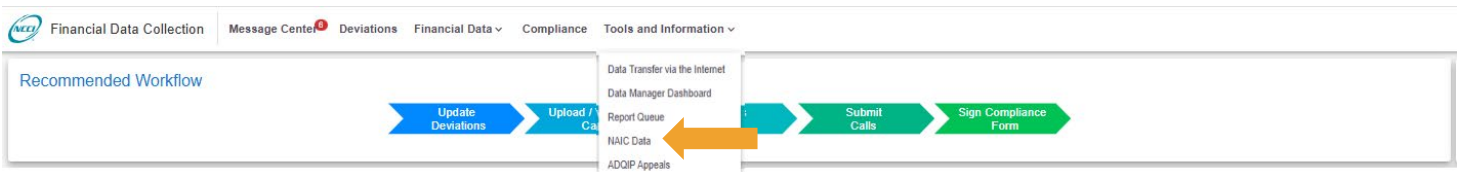
Note: For details on how to import deviations, see the Import a Financial Call section that follows in this user's guide.

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. Expand the **Tools and Information** menu option, then click **NAIC Data**



Clicking the **NAIC Premium Data** link allows you to view NAIC Premium Report information.

2. Select the following search criteria:
 - Carrier
 - Valuation Year
3. Click **Search**
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
 - Click the menu icon to the left of **Financial Data Collection** to access another component

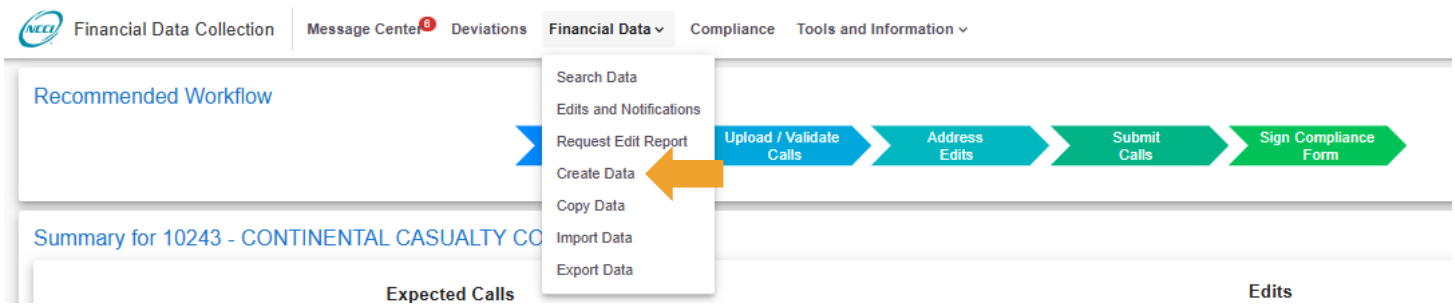
Load/Validate/Submit Data

Create a Financial Call

The **Financial 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. Expand the **Call Data** tab in the menu, then click **Create Call Data**.



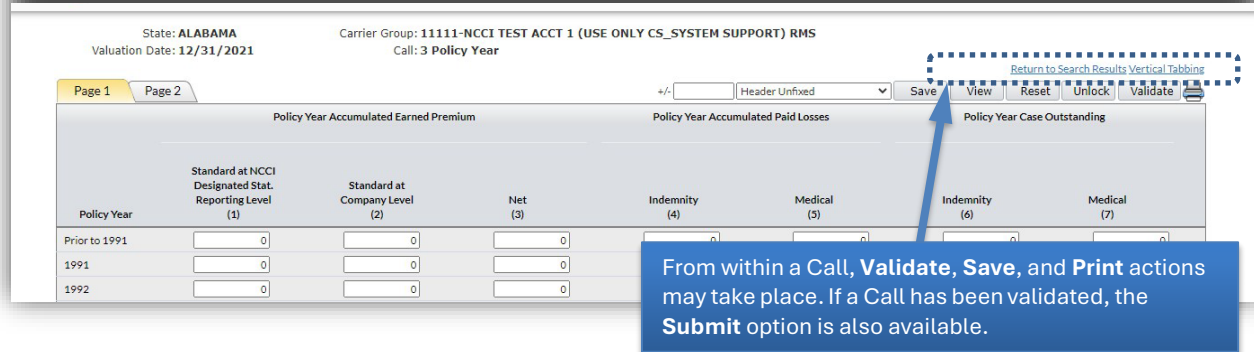
2. The Create a Financial Call window displays.
3. Select one or more of the following search criteria:
 - Carrier
 - Call
 - State
 - Valuation Year

A screenshot of the 'Create a Financial Call' form. The form has a title 'Create a Financial Call' and a 'Hide Search Criteria' link. Below the title, there is a 'Create Call' section with instructions: 'To Create a Financial Call, select Carrier Code, filter criteria, and click 'Create.' and 'If you have submitted Financial Calls in past years, you can use the Copy Call function to copy prior valuation Call data into the current valuation.' The form contains four dropdown menus: 'Carrier Code' (11111 - NCCI TEST ACCT 1 (USE ONLY CS...)), 'Valuation Year' (As of December 31, 2021), 'Call Type' (Select Call Type), and 'State' (Select State). At the bottom, there are 'Create' and 'Reset' buttons.

4. Click **Create**.

Note: An error message will display if you cannot create the selected Call.

- You are automatically taken into the data entry mode for the Call you selected. Here you can enter financial data in the applicable fields. Click **Save** before moving to the next page within a Call or to another menu option in the tool.



- 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 after the last save will be lost.
- ❑ Click the **View** button to exit data entry mode and just view the last saved data.
- ❑ Click the **Printer 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.

- 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
- ❑ Click the menu icon to the left of **Financial Data Collection** to access another component

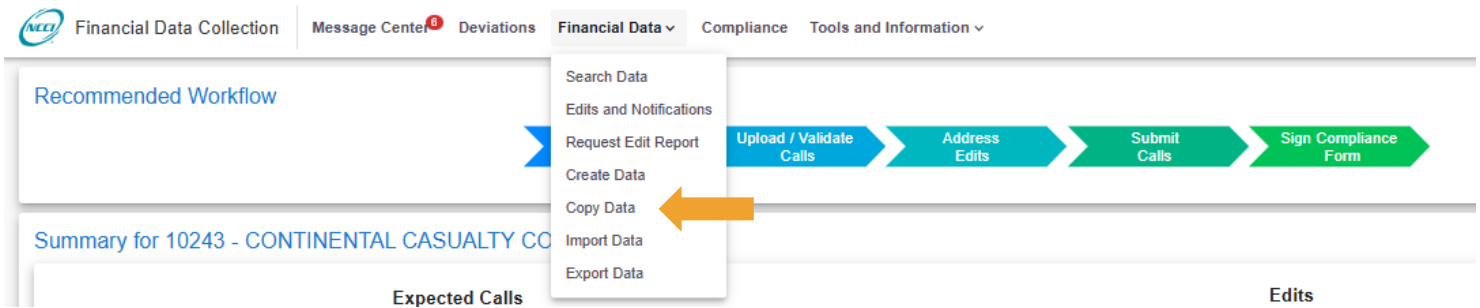
Copy a Financial Call

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, 31, 32A, 32V, and 33.

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

1. Expand the **Call Data** tab, then click **Copy Call Data**



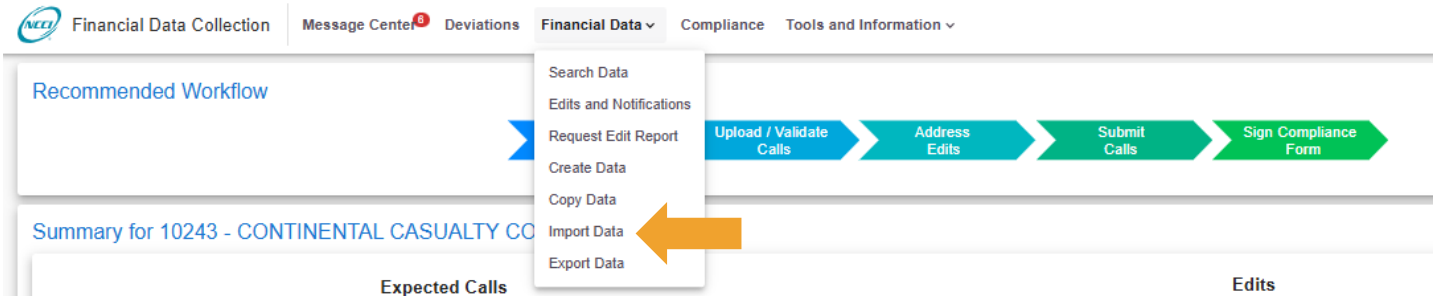
2. Select the following search criteria:
 - Carrier.
 - Call Type.
 - State—More than one state can be selected at the same time. Hold down the **Ctrl** key when clicking on multiple selections.
3. Click the **Copy** button
4. When the copy function is completed, the Copy Call Data Results screen appears
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
 - Click the menu icon to the left of **Financial Data Collection** 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:

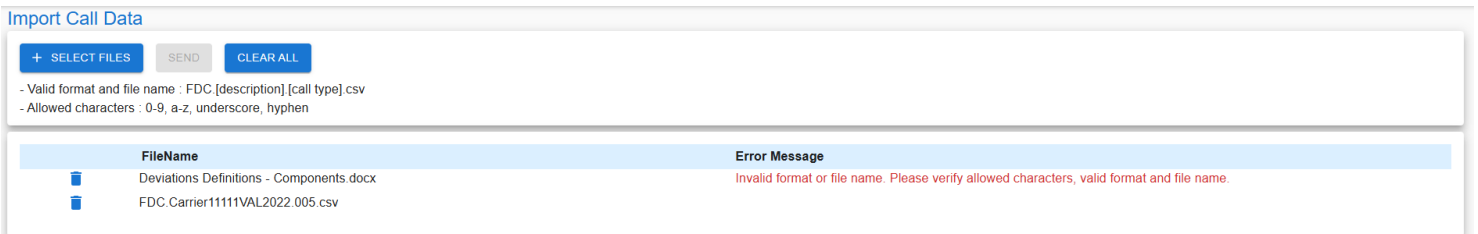
- ❑ The location of the source data
- ❑ The specifications (layout) of the output file

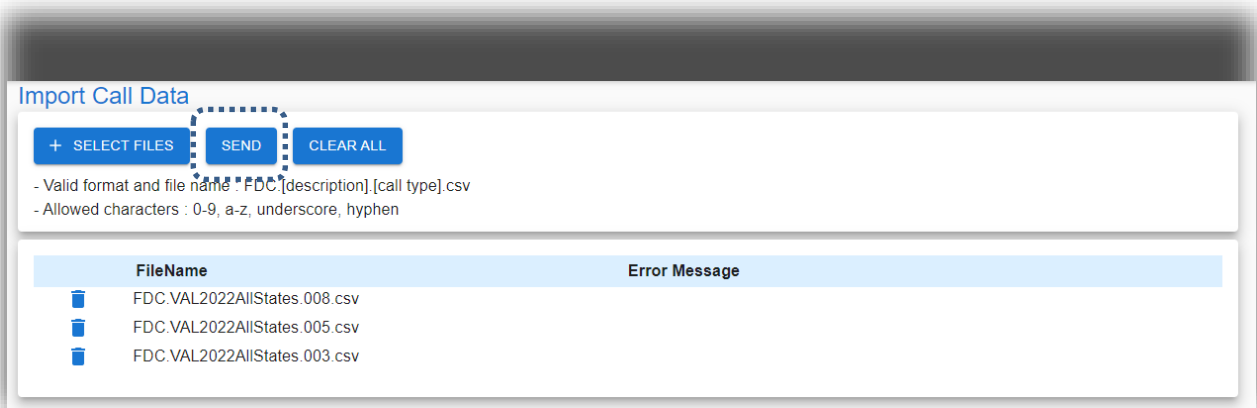


Note: All Calls can only be imported in a **Comma Delimited (CSV)** format.

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

1. Expand the **Call Data** tab, then click **Import Call Data**.
2. Use the **+Select Files** button to select the files from your local hard drive. Then review the Error Message(s) to remove unacceptable files, then click **SEND**.





Notes:

- ❑ The filename should not contain spaces or special characters
- ❑ The filename 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, and 19
- 031** Call 31—Large Loss and Catastrophe Call
- 132** Call 32A—Virginia Coal Mine Assigned Risk Call
- 032** Call 32V—Virginia Coal Mine Voluntary 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.

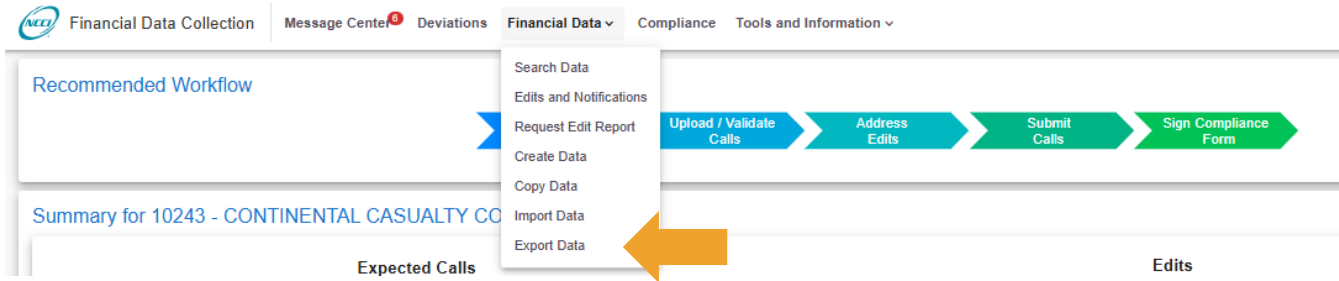
3. When you are finished using the window, you can view and/or update the data you just imported from the **Search Data option located under the Financial Data drop-down menu.**

Export Call Data

The **Export Call Data** function allows you to export a Call for a specific Carrier Code, Call Type, and State and to receive data in your **DTVI** mailbox.

Follow the steps below to export a Call.

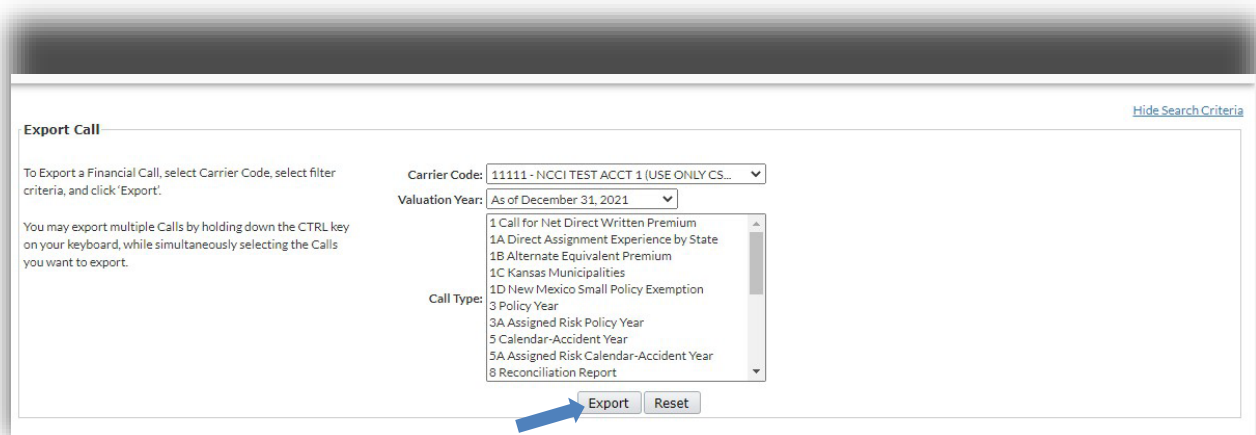
1. Expand the Call Data tab, then click Export Call Data



2. Select the following search criteria:

- Carrier
- Valuation Year
- Call Type—Hold down the control key to select multiple Calls simultaneously

3. Click Export



4. View the **View Print/Report Request Queue** for a status of the export completion
5. When the extract has completed processing, you will receive an email notification, and the extract will be available in your **DTVI** mailbox

Search Calls

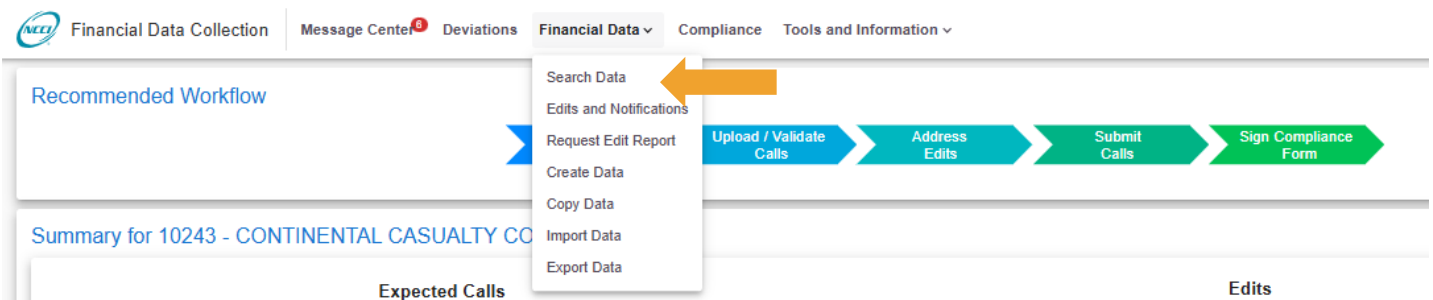
The **Search Call Data** option allows you to view all active data by Call or by state, Calls submitted to NCCI by Call or by state, and historical data by Call or by state.

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. Expand the **Financial Data** tab in the menu and click **Search 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 Financial Data Compliance Form

- 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.

Search for Financial Call Data

Search Call Data Search Call History [Hide Search Criteria](#)

Call Data Filter

To view Financial Call data, select Carrier Code, filter criteria, and click 'Search'.

In the search results, an expand icon is displayed if there are edits for that call. Clicking the expand icon, will display the edit details.

To initiate functions to Unlock, Validate, Submit or Delete you must click the check box for each desired row prior to initiating the function.

Carrier Code: 11111 - NCCI TEST ACCT 1 (USE ONLY CS... Valuation Year: As of December 31, 2021

Call Type: All Calls State: All States

Call Status: Select Call Status

Search Reset

After selecting the **Carrier, Call Type, State, Valuation Year, and/or Search Criteria**, click **Search**.

3. Click **Search**

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. (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
 - Click the menu icon to the left of **Financial Data Collection** to access another component

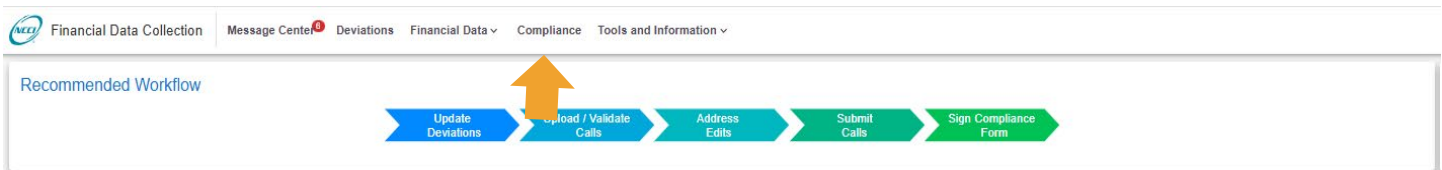
Financial Data Compliance Form

After all the calls have been submitted, you must submit the Financial Data Compliance Form.

Note: Before the form can be submitted, the Electronic Signature must be completed.

Follow the steps below to complete and submit your Financial Data Compliance Form to NCCI:

1. Select the Compliance menu option to navigate to the NEW Compliance form page. The expected Compliance Form(s) will be displayed along with the status of each.
2. Statuses include: Not Started, Saved, Validated, Rejected, and Submitted.



3. Select the Compliance form to open.
4. In Part 1, select one of the three options and complete your comments for the questions.

| Section A: General Experience | | | |
|-------------------------------|--|--|----------|
| # | Item | Options | Comments |
| 1 | Large deductible experience is excluded (<i>Reporting Guidebook</i> , Part 6, #8) | Select an Option Confirmed Review Does Not Apply Qualified Review Select an Option | |
| 2 | F-class experience is excluded; however, USL&HW experience associated with non-F-class codes is included (<i>Reporting Guidebook</i> , Part 6, #14) | Select an Option | |

Select the appropriate option and enter a comment if needed.

5. In Part 2, enter a Reason for Questions 1 through 4.
6. Save your changes.
7. In Part 3, select **Electronic Signature** to complete the Acknowledgement.

Financial Data Collection Tool User's Guide

Part 3 - Acknowledgment

I am completing this Compliance form after the compilation of Financial Calls for submission to NCCL. I understand that the timely submission of accurate Calls is critical for providing the source data that is used in the development of state workers compensation rate and loss cost filings.

By signing below, I confirm that these Financial Calls have been prepared, and the Self-Audit (for companies required to report Calls #3 and #5) has been completed, to the best of our professional abilities, accurately represent our premium and loss experience, and were reported in accordance with NCCI's *Financial Call Reporting Guidebook*.

This Acknowledgment must be signed by a Company Officer or Workers Compensation Actuary by 4/1/2022.

Note: A designated actuary must be a member of the American Academy of Actuaries and/or the Casualty Actuarial Society.

  Show me how

Select **Electronic Signature** to initiate the process.

8. Enter the applicable fields to request a signature from a corporate officer or chief actuary. Select **Request Signature** and close the window.

Signatory Information

90001 - RPFS 1 - STROOK & STROOK - LEGAL FEES ON UNCOL REC

Enter Signer's Information
*Required

First Name*

Last Name*

Email Address*

Confirm Email Address*

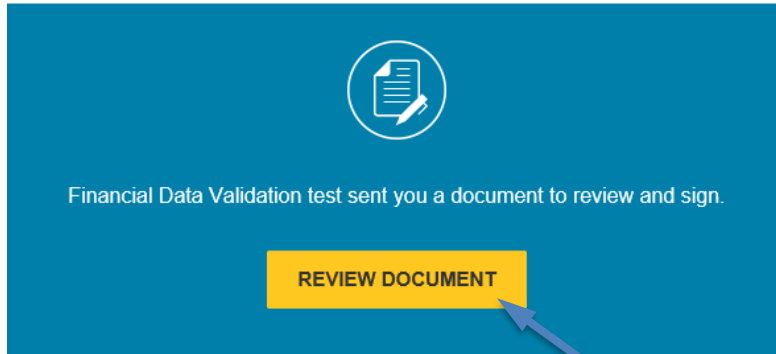
Title*

Phone Number*

Outside Consultant

Select **Request Signature** to send the form to the signer to complete.

9. The Signer should review their email to begin the signature process.

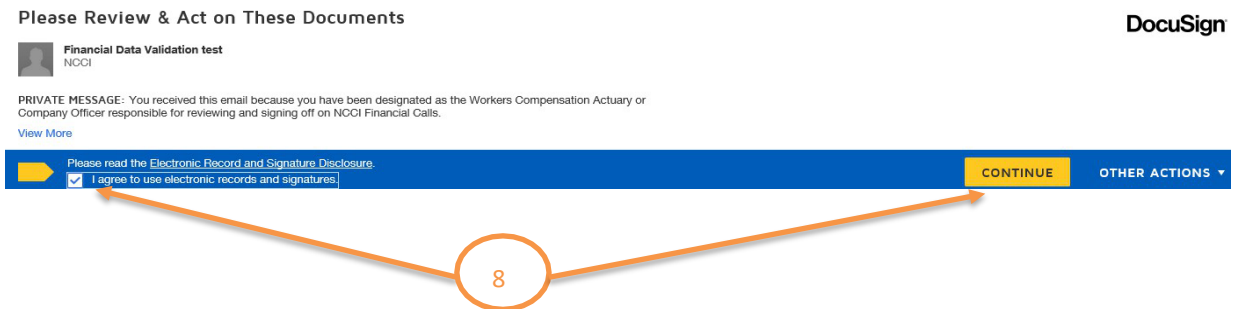


Financial Data Validation test
dev_fin_comp_form@ncci.com

Select REVIEW DOCUMENT to open the form.

10. Select the legal disclosure checkbox and click **Continue**.

Note: If you've already selected the legal disclosure, you should not have to do it each time when entering the form.



Financial Data Collection Tool User's Guide

11. Make any necessary updates to the Title, Phone Number, or Consultant Company. Then select the option to Sign the form.

DocuSign Envelope ID: 45A99A4D-7A4B-4321-96C0-7B51D5DF9C2C

DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
www.docuSign.com

I am completing this Compliance form after the compilation of Financial Calls for submission to NCCI. I understand that the timely submission of accurate calls is critical for providing the source data that is used in the development of state workers compensation rate and loss cost filings.

By signing below, I confirm that these Financial Calls have been prepared, and the Self-Audit (for companies required to report Calls #3 and #5) has been completed, to the best of our professional abilities, accurately represent our premium and loss experience, and were reported in accordance with NCCI's *Financial Call Reporting Guidebook*.

This Acknowledgement must be signed by a Company Officer or Workers Compensation Actuary by April 1st.

Note: A designated actuary must be a member of the American Academy of Actuaries and/or the Casualty Actuarial Society.

Carrier Group: 90001 - RPFS 1 - STROOK & STROOK - LEGAL FEES ON UNCOL REC

Valuation Year: 12/31/2020

Signer's Name: John Doe

Signer's Title: CEO

Signer's e-mail address: docusignchery12@gmail1.com

Signer's Phone Number: 561-893-1234 x100

Consultant Company:

Signature:  _____
Authorized signature

Adopt your signature generated in DocuSign or draw your own signature by selecting the Sign option.

12. The signer completes the signature process and selects **ADOPT AND SIGN**.

Note: If you have your own DocuSign account, your signature associated with your DocuSign account will display automatically.

Adopt Your Signature

Confirm your name, initials, and signature.

* Required

Full Name*

John Doe

Initials*

JD

SELECT STYLE

DRAW

PREVIEW

Change Style

DocuSigned by:
 DS
831DE3686C4E47F... 

By selecting Adopt and Sign, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen-and-paper signature or initial.

ADOPT AND SIGN

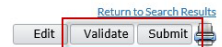
CANCEL

Financial Data Collection Tool User's Guide

13. Select **Finish** at the top of the screen to complete your signature. Once this option is selected, the person who initiated the signature request, the signer, and NCCI will receive emails indicating the signature is completed.
14. Return to the Compliance Form in **FDC. Validate** and **Submit** the form to NCCI by selecting the buttons at the top of the form.

State: COUNTRYWIDE
Valuation Date: 12/31/2019

Carrier Group: 22222-NCCI TEST ACCT 2 (INT USE ONLY CS_SYSTEM SUPPORT)
Call: Financial Data Compliance Form



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 pre-submission stage.

1. Expand the **Call Data** tab in the menu 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 **Search**.
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.
5. Once you have selected all Calls to be deleted, click the **Delete** button at the top of the search results.
6. A Confirmation Message is displayed 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
7. You now have the following options:
 - Click **Financial Data Collection** at the top of the window to return to the application main page
 - Click the menu icon to the left of **Financial Data Collection** to access another component

Edit Functions

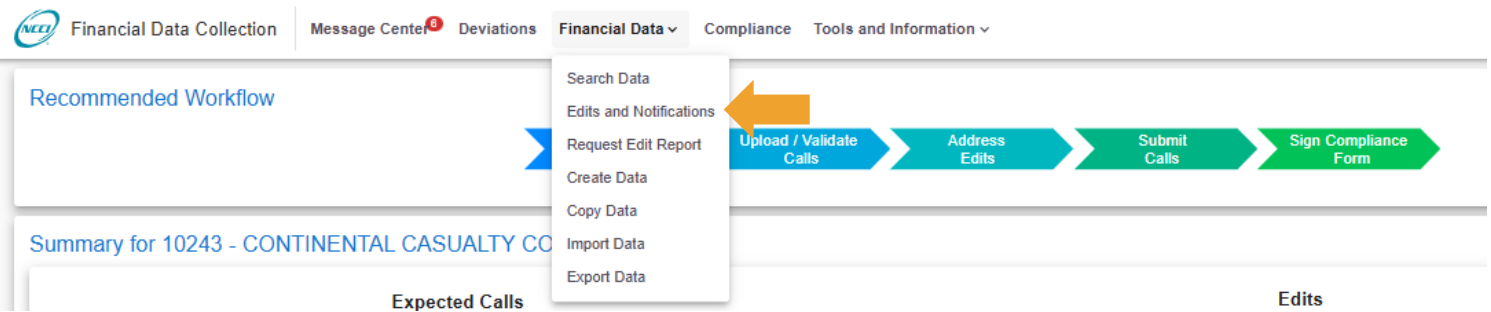
View Edits and Add Explanations

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. Expand the **Edits and Notifications** tab and click **Search Current Edits and Notifications**



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

Financial Data Edits and Notifications

Explanation Rejected (Outstanding Notifications): 0

[Hide Search Criteria](#)

Edit Filter

To view Edit information, select Carrier Code, filter criteria, and click 'Search'.

In the search results, click the expand icon to display additional edit details. Clicking the print icon will generate an Edit Report based upon the selected criteria.

| | | | |
|-----------------------|---|-----------------|---------------------------|
| Carrier Code: | 11111 - NCCI TEST ACCT 1 (USE ONLY CS_... ▾ | Valuation Year: | As of December 31, 2023 ▾ |
| Call Type: | All Calls ▾ | State: | All States ▾ |
| Explanation Needed: | Select Filter ▾ | Edit Type: | Select Edit Type ▾ |
| Explanation Accepted: | ▾ | Edit #: | ▾ |

 Search

Select the appropriate criteria, then click **Search**.

3. Click **Search**
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 **Printer 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

Search Edit Results

Page size: 50 112 Items in 4 pages

| State | Edit # | Observation/Claim # | Call | Edit Description | Carrier Explanation |
|-------------|--------|---------------------|--------------------------|---|---------------------|
| CONNECTICUT | 1802 | 2000 | 5 Calendar-Accident Year | Unusually high severity given the large number of claims. Indemnity Incurred Claim Count: 2,627; Indemnity Accumulated Paid Losses: 43,088,976; Indemnity Case Outstanding: 5,901,546; Severity: 18,649. Please examine the claim count data and identify any large claims that may be influencing this ratio. If the data is incorrect, submit a revised report. If the data is correct, provide a detailed explanation. | |
| CONNECTICUT | 1802 | 2001 | 5 Calendar-Accident Year | Unusually high severity given the large number of claims. Indemnity Incurred Claim Count: 3,259; Indemnity Accumulated Paid Losses: 54,523,345; Indemnity Case Outstanding: 8,536,557; Severity: 19,349. Please examine the claim count data and identify any large claims that may be influencing this ratio. If the data is incorrect, submit a revised report. If the data is correct, provide a detailed explanation. | |
| CONNECTICUT | 1802 | 2002 | 5 Calendar-Accident Year | Unusually high severity given the large number of claims. Indemnity Incurred Claim Count: 2,244; Indemnity Accumulated Paid Losses: 33,699,089; Indemnity Case Outstanding: 1,891,985; Severity: 15,861. Please examine the claim count data and identify any large claims that may be influencing this ratio. If the data is incorrect, submit a revised report. If the data is correct, provide a detailed explanation. | |

From the Financial Data Edits search results, you may either click the **Arrow icon** for a specific error or the **Printer icon** to request a print image report of all the errors found on the Search Results page.

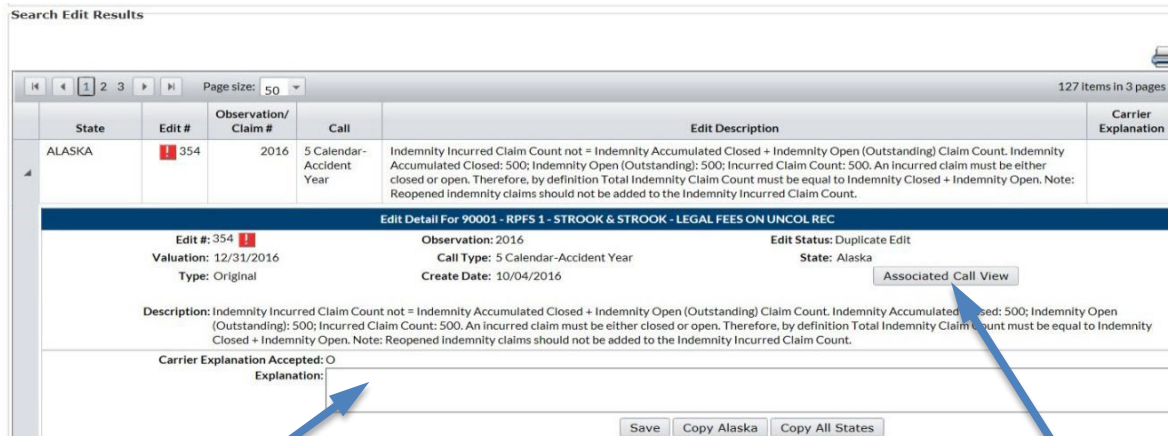
7. A new row displays the following edit description detail:

- Edit #
- Observation/Claim Number
- 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.



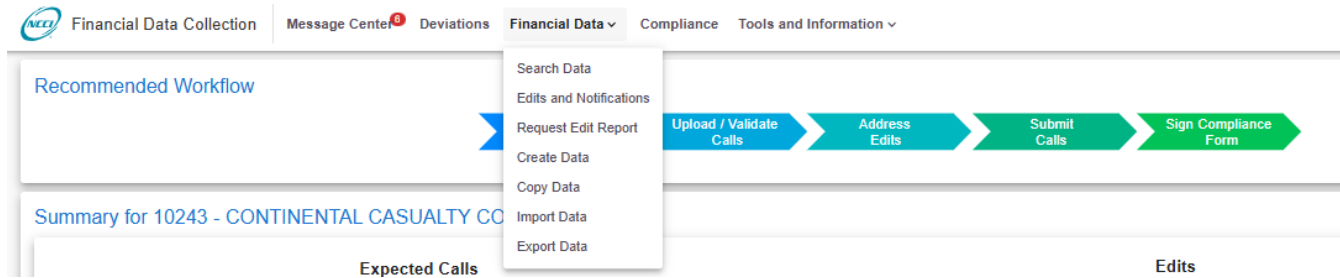
Once in Edit Detail, you may either select **Associated Call View** to assist in the troubleshooting effort or provide an explanation of the edit.

8. Enter an explanation for the specific edit that you want saved into the Edit Detail, then click **Save**
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 **v** 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
 - ❑ Click the menu icon to the left of **Financial Data Collection** 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. Expand the **Edits** tab in the menu and click **Request Edit Report**.

2. Select the following criteria:

- Carrier Code
- Edit Type
- Valuation Year



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

Report and Print Request Queue

This table lists the current status of any reports or print jobs you have recently requested. These reports have not yet been delivered to your DTVI mailbox.

| Report Type | Report Description | Status | Request Date |
|--------------|---------------------|-----------------|--------------|
| Print Queue | Financial Call Data | Completed | 10/13/2016 |
| Print Queue | Edit Log Data | To be Processed | 10/13/2016 |
| Report Queue | DETAIL EDIT EXTRACT | To be Processed | |

Financial Data Edit Report Request confirmation.

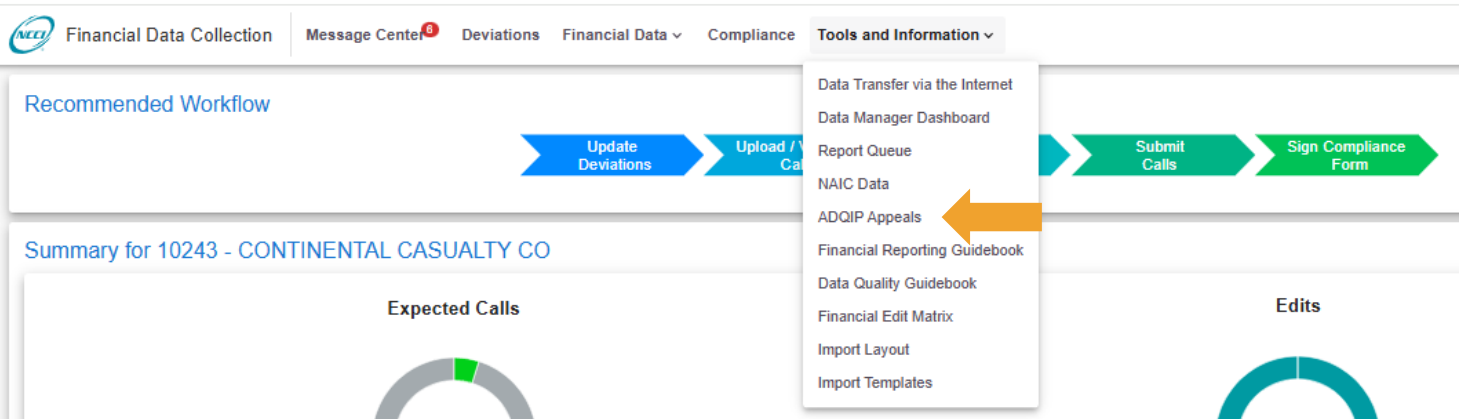
Tools—ADQIP Appeals

Create an ADQIP Appeal

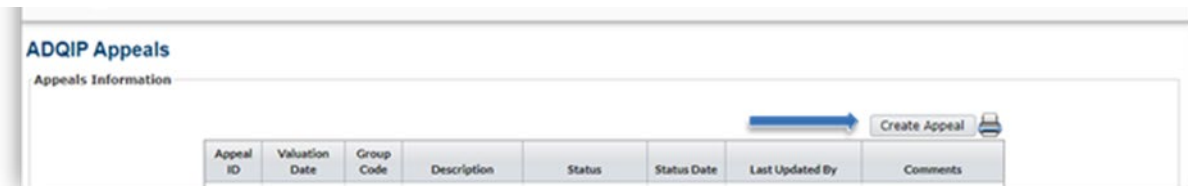
The **ADQIP Appeals** component allows you to create, edit, or print an appeal.

Follow the steps below to create an appeal.

1. Expand the **Tools and Information** option and go to the ADQIP Appeals screen.



2. Click **Create Appeal**.



3. From the Create Appeal screen, select from four options in the Description drop-down menu:
 - Additional Quality Letter
 - Timeliness and Quality Letter
 - Timeliness Letter
 - General
4. Enter your specific comments.
5. To save your appeal so that you can continue editing it at a later time, click **Save**. To submit the appeal, click **Submit**.

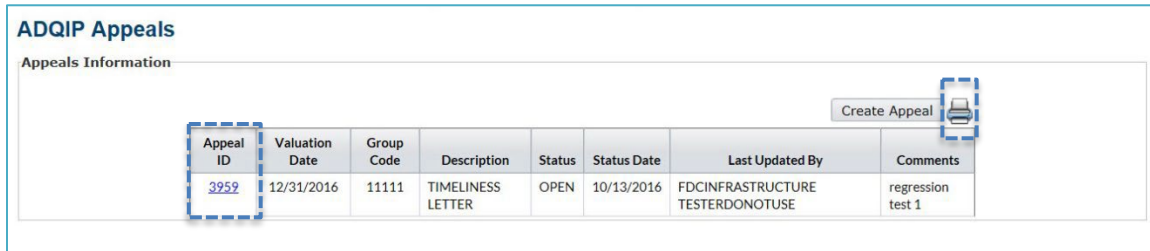
The screenshot shows a web application window titled "Create Appeal". The window contains the following elements:

- Header:** "Create Appeal" in a blue bar.
- Form Fields:**
 - Appeal ID:** A dropdown menu with four options: "ADDITIONAL QUALITY LETTER", "TIMELINESS AND QUALITY LETTER", "TIMELINESS LETTER", and "GENERAL".
 - Appeal Status:** A text field containing "OPEN".
 - Valuation Date:** A date picker set to "12/31/2015".
- Instructions:** Below the dropdowns, a note reads: "Please provide the reason for your appeal including the State, Financial Call Number, Error Code and Observation where applicable in the Comments section below. Note, appeal comments are limited to 2000 characters including spaces."
- Comments:** A large text area for entering the reason for the appeal.
- Buttons:** Three buttons at the bottom: "Save", "Submit", and "Close".


Edit/View an ADQIP Appeal

Once the appeal has been saved, you have the option of editing the appeal. Follow the steps below to edit or view an appeal:

1. Hover over the **Tools and Information** tab and go to the ADQIP Appeals screen
2. Click the **Appeal ID** link
3. To print the screen, click the **Printer icon**



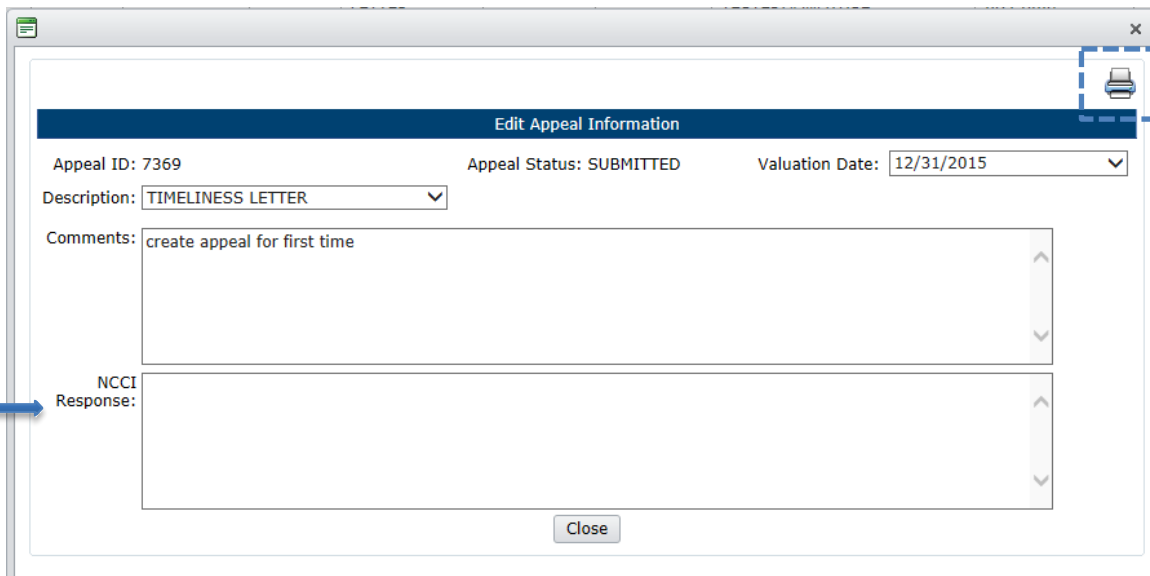
ADQIP Appeals
Appeals Information


Create Appeal 

| Appeal ID | Valuation Date | Group Code | Description | Status | Status Date | Last Updated By | Comments |
|----------------------|----------------|------------|-------------------|--------|-------------|-------------------------------------|----------------------|
| 3959 | 12/31/2016 | 11111 | TIMELINESS LETTER | OPEN | 10/13/2016 | FDCINFRASTRUCTURE TESTERDONOTUSE | regression test 1 |

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

By clicking the **Appeal ID** link, the NCCI Response field is also viewable. You also have the option of printing the screen by clicking the **Printer icon**.



Edit Appeal Information 

Appeal ID: 7369 Appeal Status: SUBMITTED Valuation Date: 12/31/2015

Description: TIMELINESS LETTER

Comments: create appeal for first time

NCCI Response:

Close

Supplemental Information

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 14, 2018 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
Filename: FDC.ImportFileName.008.csv File
Size: 379
Carrier group: 33333

Wed Nov 14 HH:MM:SS EST 20YY

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

You will only receive this email if you do not have access to submit Financial Calls and are, therefore, unable to import. To resolve this issue, you must contact NCCI's Customer Service Center to adjust your access.

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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 14, 2023 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

Filename: FDC.90021NM2010.003.csv

Carrier group: 33333

File Size: 1974

FCOLINFRASTRUCTURE TESTERDONOTUSE

Wed Nov 14 09:50:46 EST 2023

If you have any questions, please contact NCCI Customer Service—
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 14, 2018 9:52 AM **To:**
Financial Data Collection User
Subject: PICKUP:NCCI FDC Error File in your Electronic Mailbox

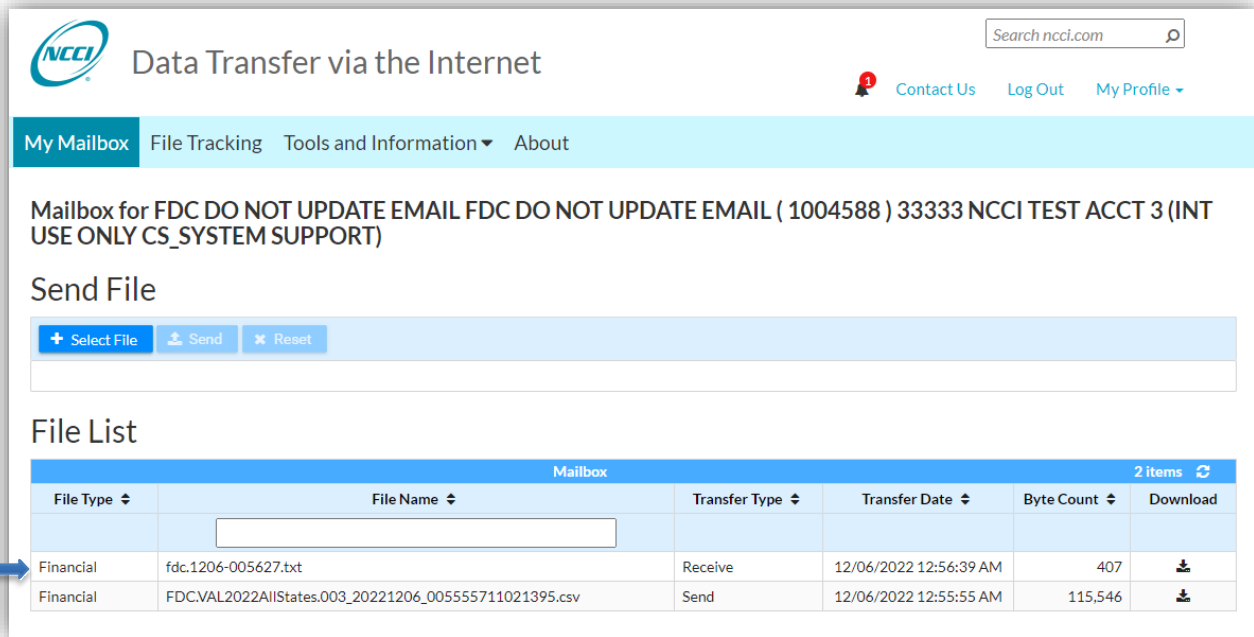
Your Financial Data submission file has been rejected. A Report has been delivered to your electronic mailbox at NCCI's website.

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:

DTVI Mailbox: 1004588
Carrier Group: 33333
Name: FCOLINFRASTRUCTURE TESTERDONOTUSE user_name@ncci.com **Filename:**
fdc.1116-095116.txt
File Size: 296
Records: 8
Tracking ID 303742
Wed Nov 14 09:51:34 EDT 2018

**If you have any questions, please contact NCCI Customer Service—
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.

***** Import Reject Notice

***** File Name: fdc.reject1.031.csv

Processed On: 09/17/2018 03:15:52 PM

Your Financial Data file has been rejected. Please review the error(s) below.

Carrier Code: 90018 Call: 031 State: 1 Valuation: 12/31/2018

Selected call already exists in Staging or does not exist in production.

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

Cause: You may already have a Call in staging or in production or a correction exists without an original report submitted.

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. If you are trying to import a CORRECTION file, please change the Header to reflect a CORRECTION with a C after the Call Type in the Header.

.....

***** Import Reject Notice

***** File Name: fdc.reject2.005.csv

Processed On: 09/13/2018 03:23:48 PM

Your Financial Data file has been rejected. Please review the error(s) below.

Carrier Code: 11111 Call: 005 State: 1 Valuation: 12/31/2017 Selected
call already exists in production.

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

Cause: The imported call already has been submitted to production

Solution: View your import file in Notepad and verify the correct call is listed. If you are trying to import a correction instead of an original call, please change the header to reflect a CORRECTION.

.....

***** Import Reject Notice *****

Contact *User ID* NOT ALLOWED to submit data for Carrier NNNNN File

Name: fdc.invalidcarrier.005.csv

Processed On: 09/17/2018 01:34:33 PM

Your Financial Data file has been rejected. Please review the error(s) below. Invalid

Header Record - v2,24392,test,2017,5,,Y,,,,,

Contact *UserID* NOT ALLOWED to submit data for Carrier

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

Cause: The carrier listed in your header record does not match the carrier code assigned to the logged in User ID

Solution: View your import file in Notepad and verify the carrier code listed in the first line.

.....

***** Import Reject Notice

***** File Name:

fdc.IncorrectValuationYr.003.csv Processed On:

Financial Data Collection Tool User's Guide

09/18/2018 08:22:35 AM

Your Financial Data file has been rejected. Please review the error(s) below. Invalid

Header Record - 90003,Test Carrier,2019,3,,,,,,,,,,,,,,,,,,,,,,,,,,,,,

Valuation Year must be less than or equal to the current valuation year. Call Year: 2019, Valuation Year: 2018

*****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.

***** Import Reject Notice

***** File Name:

fdc.invalidchars1.008.csv

Processed On: 09/18/2018 01:25:28 PM

Your Financial Data file has been rejected. Please review the error(s) below.

2,500,500.53,500,500

Data is not numeric: 500.53

*****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.).

***** Import Reject Notice

***** File Name:

fdc.InvalidCorrInd.003.csv

Processed On: 09/17/2018 03:12:41 PM

Your Financial Data file has been rejected. Please review the error(s) below. Invalid

Header Record - v2,90018,TC,2018,3,T,,,,,,,,,

Submission type in header record must be left blank for an original submission or C for a correction:

T

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

Cause: The Correction Indicator is reported incorrectly

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 correction examples.

***** Import Reject Notice

***** File Name:

Financial Data Collection Tool User's Guide

fdc.2017call3invalid003.csv

INVALID FILENAME

Correct Filename Format: FDC.[description].[call type].csv

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

Cause: The imported file's file name does not follow the proper naming convention.

Solution: Update file name to correct naming convention mentioned in reject notice.

.....

***** Import Reject Notice

***** File Name: fdc.commas.008.csv

Processed On: 09/18/2018 09:30:41 AM

Your Financial Data file has been rejected. Please review the error(s) below. Invalid

Header Record - v2,90003,testcarrier,2018,008

Header record for this call file must have 6 fields

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

Cause: The header record does not have the proper number of commas

Solution: View your file in Notepad and verify 6 commas are present on the header. Note: If the header is longer than the rest of the contents in the file, Excel will remove any remaining commas.

.....

***** Import Reject Notice

***** File Name:

fdc.toofewcommas.008.csv Processed On:

09/18/2018 11:41:35 AM

Your Financial Data file has been rejected. Please review the error(s) below.

1,0,500,500

Call 8 record must have 5 fields for data records and 2 fields for Reason records

*****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.

.....

***** Import Reject Notice

***** File Name:

fdc.invalidstate1.008.csv

Processed On: 09/18/2018 12:15:43 PM

Financial Data Collection Tool User's Guide

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.

.....

***** Import Reject Notice

***** File Name:

fdc.stateotherthantx.110.csv Processed On:

09/18/2018 12:34:37 PM

Your Financial Data file has been rejected. Please review the error(s) below.

Carrier Code: 90003 Call: 110 State: 9 Valuation: 12/31/2018

Selected Call/State is not collected by NCCI for selected valuation date

*****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.

.....

***** Import Reject Notice

***** File Name:

fdc.invalidvaluequestion.019.csv Processed On:

09/18/2018 12:42:37 PM

Your Financial Data file has been rejected. Please review the error(s) below. Invalid

Header Record - 90003,test,2018,019,X,,,,,

For Call 019 field 5 in the header must be a Y or N: X

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

Cause: Header record contains an invalid answer to the question on Page 2 of the Call.

Solution: View your file in Notepad and verify that the 5th data element on the header is either a "Y" or an "N."

.....

***** Import Reject Notice

Financial Data Collection Tool User's Guide

***** File Name:

fdc.claimmorethan18chars.031.csv Processed On:

09/18/2018 12:54:37 PM

Your Financial Data file has been rejected. Please review the error(s) below.

abc1234def1234ghi1234jkl,abc1234def1234ghi1234jkl,1,1,1,1/1/2018,1/1/2018,0,500,500,500,500,500,5 00,,

Claim number cannot exceed 18 digits abc1234def1234ghi1234jkl

Policy number cannot exceed 18 digits abc1234def1234ghi1234jkl

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

Cause: Claim number exceeds the maximum field length.

Solution: Claim numbers can only be alphanumeric and cannot exceed 18 characters. No symbols are allowed (e.g., "-", "%", etc.).

