# Table of Contents

## Indemnity Data Collection Overview

- Tool Features
- Benefits
- Key Features
- Logging In
- Main Menu Features

## Certification Overview

- Step 1—File Submission
  - Step 1A. File Accepted
  - Step 1B. File Rejected
- Step 2—Review the Certification Report
  - Step 2A. Returned Record Edit Results
  - Step 2B. Review the Quality Tracking Edit Results
  - Step 2C. Review Key Field Verification Results
  - Step 2D. Review the Informational Details Reported
- Step 3—Certification Review and Approval
  - Step 3A. Certification Review—Corrections Required
  - Step 3B. Certification Review—Approval

## Editing—Process and Stages

## Summary Page

- Files
- Quality

## File Results

## Submission Reports

- General Information
- Rejected File Edit Results
- Returned Record Edit Results
- Quality Tracking Edit Results—Transactional and Quarterly Files only
- Key Field Verification Results—Transactional and Quarterly Files only
- Informational Details Reported

## Quality Tracking Results

## Quarter End Results

- Completeness
- Quality Results
Observations........................................................................................................................................... 47
Key Field Verification................................................................................................................................ 49
Indemnity Data Collection Overview

Tool Features

*Indemnity Data Collection:*  
- Is a Web-based application  
- Enables you to monitor your data reporting performance  
- Is a read-only tool; therefore, you cannot make updates to your data via this tool  
- Can benefit anyone involved with data reporting (data providers, management, etc.)

Benefits

- *Indemnity Data Collection* is a valuable source of information that provides you with a comprehensive view of your data reporting performance  
- It enables you to manage your data reporting more efficiently by highlighting areas that may need improvement

Key Features

- You can view data reporting results on the:  
  - Summary Page—displays a quarterly trending of real-time completeness and quality results (available 2Q2020)  
  - File Results—helps you track your individual file level submissions using information such as the Received Date, File Name and File Submission Identifier, as well as view the status of each submission—accepted or rejected  
  - Submission Reports—displays the detailed quality results from individual Certification and Production file submissions  
  - Quality Tracking Results—provides aggregated quality results displayed at both the individual data provider level and Group level combined  
  - Quarter End Results—displays aggregated quality results at the Group level, in addition to additional completeness and quality observations  
  - Key Field Verification—attempts to match key fields to Policy and Unit data, where possible, in order to ensure consistency of key field reporting across data types

- Using the Tools and Information option in the main menu, you can link to features such as the Learning Center and Publications/Reports directly related to the Indemnity Call

- You can access the tool using one of two provided access levels:  
  - Data Submitter Access—Allows users who are not part of the Carrier Group (e.g., service providers), but are reporting data on their behalf, to view the results of files submitted by their company. These users can access the following screens:  
    - File Results—with access to the Submission Reports  
    - Quality Tracking—aggregated Quality Tracking Results  
  - Group Access—Allows users who are part of the Carrier Group to view the results of all submissions submitted on the Group’s behalf. These users can access all screens in the tool.
Logging In

To receive access to *Indemnity Data Collection*, contact NCCI’s Customer Service Center at 800-NCCI-123 (800-622-4123).

- Go to ncci.com
- Click the Data Reporting link

- Click INDEMNITY DATA CALL
- From the TOOLS section, select **Indemnity Data Collection**

![User Interface Diagram]

- Enter your **User ID** and **Password** in the Login box
- Click **Log In**
Main Menu Features

To display the Indemnity Data Collection main menu options, click on the following menu icon at the top-left of the screen:

Upon clicking on the icon, the following options are displayed:

- **Summary**
- **File Results**
- **Quality Tracking Results**
- **Quarter End Results**—upon selecting this option, you’ll have three tabs to select from:
  - Completeness
  - Quality Results
  - Observations
- **Key Field Verification**
- **Tools and Information**—provides links to:
  - Data Transfer via the Internet
  - Indemnity Data Edit Matrix
  - Indemnity Data Call Reporting Guidebook
  - Learning Center
  - Publications/Reports
- **About**—provides information about the Indemnity Data Collection tool

To exit out of the main menu options, click the X in the top-right corner.
Tool Features

To access additional information, use these features:

- **Quick Links**—allows you to easily access data-related information, such as the **Data Transfer via the Internet** tool for submitting files, Data Reporting, and the **Indemnity Data Call Reporting Guidebook** (located at the bottom of the screen)

To access **ncci.com**, click the NCCI logo next to main menu icon.

To return to the tool’s Summary page, click on the words **Indemnity Data Collection**.

**Carrier Group Selection**—for Data Providers submitting for more than one Carrier Group, click on the arrow in the top-right corner to select the Carrier Group’s results you wish to view.
Click on the three vertical dots next to the Group Code located on the top-right of the tool to display the following options:

System Alerts and Information—If there is an important message NCCI needs to display, a pop-up window will appear on your screen:

- If you select **DON'T SHOW AGAIN**, you will not see this alert ever again.
- If you select **REMIND ME LATER**, you will see this alert every time you log in to the tool, until NCCI decides to remove it.
Certification Overview

In preparation for the new Indemnity Data Call, NCCI has created additional information below to assist you through the certification process.

Prior to Submitting Files
Please refer to the Certification Readiness Circular (IND-2019-03) on ncci.com for the three-step process: Setup, Testing, and Approval. This circular will identify what data needs to be included in each certification test (TST) file and how to submit your files to NCCI.

The Electronic Transmission User’s Guide includes the Data Provider Profile form that is required in order to submit data for the Call, in addition to the Service Provider Forms, which are required if a Service Provider will be authorized to report data on a carrier’s behalf. This guide also contains the necessary information to submit files via Secure FTP Software and testing procedures.

Finally, you can refer to the Indemnity Data Collection Tool User’s Guide, which provides instructions on how to navigate throughout the tool and includes information about each screen to assist in reviewing your file results.

Step 1—File Submission

Step 1A. File Accepted
The submitter will receive two auto-generated emails if the file was accepted:

- **Data Transfer via the Internet (DTVI)** email—notifying you the file submission was successful
- **Indemnity Data Collection (IDC)** tool email—notifying you that your file processed successfully, and your Quality Tracking Results are available
  - Click on the link in the email, which directs you the **Indemnity Data Collection** tool to view your file results in the Certification Report
- Refer to Step 2.

Step 1B. File Rejected
The submitter will receive **one** of the following auto-generated emails if the file rejected:

- **DTVI** email—n otifying you if the file submission rejected. If the file rejected at this stage, the results will not be available in the **Indemnity Data Collection** tool. The file must be corrected and resubmitted.
  - Files reject at this stage for issues such as invalid record length, failed PGP encryption, users not authorized to submit indemnity data, and for files submitted with null characters
- **IDC** tool email—n otifying you that your file did not process. For file reject reasons, refer to the **Indemnity Data Call Edit Matrix**.
  - Click on the link in the email, which directs you to the **Indemnity Data Collection** tool to view your file results in the Rejected File Edit Results section of the Certification Report.
  - After reviewing the reason(s) why your file rejected, make the necessary corrections and resubmit the file. If you are unable to resubmit your file successfully, please contact Customer Service at 800-622-4123 (800-622-4123) or data@ncci.com.

**Note:** If you receive the **IDC** tool email, you would have also received a **DTVI** email notifying you that your file was successfully processed through **DTVI**.

Step 2—Review the Certification Report

Step 2A. Returned Record Edit Results

- If any summarized results are displayed in red, expand this section to review the reason(s) why your record(s) were returned.
To obtain a list of these records at the key field level detail, click on the main menu, select File Results, locate your file, then click on the blue cloud icon under Returned Records. A CSV spreadsheet will be available for you to identify each impacted record.

Correct these records in your source system and then resubmit your certification file to NCCI.

Refer to Step 1. If there are no results displayed in red, refer to Step 2B.

Step 2B. Review the Quality Tracking Edit Results

To review your results, expand the Quality Tracking Edit Results section, even if all elements for each category are within range. Then, perform the validation steps below.

Please note that NCCI has categorized these data elements as:

- **Demographic and Claim Setup**—NCCI expects these data elements (e.g., Claimant Birth Year and Pre-Injury-Wage) to be populated.
- **Conditional**—These are event-driven data elements (e.g., Closing Date and Temporary Disability Benefit Extinguishment Code) that for most records will have a value once the “event” has occurred.
- **Highly Conditional**—These highly conditional event-driven data elements are associated with only unique claim circumstances. For example, a claimant with a permanent injury will have an MMI Date and Impairment Percentage or an indemnity payment transaction with benefit offsets. It is acceptable for these data elements to be missing, but they should not be missing for every record/claim.

Validation Steps:

- Prioritize your workflow by focusing on those elements with percentages of passing records in red. Then review the associated edits, focusing on those with the highest count of edit occurrences first to the lowest count, as identified in the Edit Count column.
- Click on the blue cloud icon under the Edit Results column for each edit. A CSV spreadsheet will be available for you to identify each impacted record where there was an edit occurrence.
- Identify whether the reporting issue is systemic. If it is, a system fix may be required, along with a new file submitted prior to certification approval.

  - **Element reported with an invalid format**—For example, is the date format reported correctly as YYYYMMDD? Are negative values reported with the minus sign in the correct location? If not, such systemic issues will need to be fixed prior to certification.
  - **Invalid code values reported**—For example, if the Benefit Type Code reported does not represent a valid code value or is not applicable for the reported Jurisdiction State. If not, such systemic issues will need to be fixed prior to certification.
  - **Element is 100% missing (zero filled or blank)**—Even highly conditional data elements should not be 100% missing. Check to see whether the data is missing due to systemic issues. If a data element is missing as a result of a new data element recently added to the claims system, provide this explanation to NCCI.
  - **Element has a high occurrence of missing**—Demographic and claim setup data elements should be highly populated. If not, determine if the values are missing due to systemic issues, (e.g., missing only for the records from a specific TPA/vendor.) When the reporting issue is not systemic, the reporting issue is to be considered behavioral. (For example, the data element is available on the claims system; however, claims adjusters are not populating the data element.) In this scenario, we would ask for an explanation of the steps taken to ensure the data element will be populated for future production data reporting.

Note: Informational edits are identified by a blue dot preceding the edit number. The count of occurrences for these edits does not impact the percent of passing records for the element. The purpose of these edits is to provide additional feedback and ensure the element is not 100% missing.
- Refer to Step 2C.

**Step 2C. Review Key Field Verification Results**

- Expand each section.
- Review the results for each data type.
- If the percentage is low (less than 90%), click on the blue cloud icon under the Key Fields Not Found column for each of the results. A CSV spreadsheet will be available for you to identify each impacted claim that does not have a matching policy or unit with the same key fields residing on NCCI’s database.
- Refer to Step 3.

Refer to the Key Field Verification section of this User Guide for additional information.

**Step 2D. Review the Informational Details Reported**

**Validation Steps:**
- Expand each section
- Review any items in red to identify potential reporting issues
- Review the distribution information to ensure your data has been reported accurately

**Carrier Codes**
- Review results to confirm the certification test file included indemnity data for all carrier codes for which you are required to report.
- Verify whether any carrier codes were included in the certification test file that NCCI did not expect you to report. These results are displayed in red.

**Non-IDC Jurisdiction States**
Verify whether any jurisdiction states were included in the certification test file that are not applicable to the Indemnity Data Call. Refer to Part 2B of the *Indemnity Data Call Reporting Guidebook* for jurisdictions applicable to NCCI’s Indemnity Data Call.
- If the Jurisdiction State changes from an IDC state to a Non-IDC Jurisdiction State, report a Quarterly record identifying this change

**Benefit Types**
- Confirm that a reasonable distribution of Benefit Types is included in the certification test file
- Ensure there are no missing or invalid Benefit Types that could identify a potential mapping issue

**Step 3—Certification Review and Approval**

**Step 3A. Certification Review—Corrections Required**
- If you determine there were systemic issues, then you can work with your staff to correct these and resend file(s) to NCCI, repeating the above steps to verify the corrections.
- After you have reviewed the results of your transactional file, quarterly file, and key field verification, your validator will determine whether the results are acceptable for certification approval.
- If the results are not acceptable, the validator will outline the necessary corrections. You would work with your staff to make the necessary corrections and resubmit file(s) to NCCI.

**Step 3B. Certification Review—Approval**
• Once the file results are determined acceptable for certification approval, you will receive an email notification from NCCI and will be granted access to submit production TXT files effective 2Q 2020.
Editing—Process and Stages

Editing Process
NCCI’s editing process is performed to ensure that the Indemnity data provider’s data is consistent with reporting requirements and that it meets quality standards. For this Call, it’s based on file acceptance and three quality components:

- Population tests (e.g., Are the data elements appropriately populated?)
- Validity tests (e.g., Are the data elements populated with valid values?)
- Reasonability tests (e.g., Is the distribution of data elements reasonable?)

These tests will be performed on each data element and across record elements where needed.

Stages of Editing
The above quality components are incorporated into four stages of editing for this Call.

Stage 1—File Acceptance
File Acceptance editing checks file submissions to determine that the data reporter is authorized to report the Indemnity data for the Carrier Group in the File Control Record. These edits also check to ensure that the elements in the File Control Record are not missing or invalid; otherwise, the file will be rejected.

Stage 2—Record Acceptance
Record Acceptance editing checks to ensure that the key fields (Accident Date, Carrier Code, Claim Number Identifier, Policy Effective Date, and Policy Number Identifier) and the processing elements (Record Type Code, Transaction Code, Transaction Date, and Transaction Identifier) are being reported correctly. If any of these elements are missing or invalid, the edits will return the corresponding record.
Stage 3—Quality Tracking

Quality Tracking is the stage of the editing process that allows a data provider to gauge the quality of the data they are reporting. Records that have passed both the File Acceptance and Record Acceptance stages of editing will be incorporated into the Quality Tracking stage. This stage of editing checks the population and validity of the remaining data elements in the Transactional and Quarterly records.

Each data element is evaluated against a tolerance threshold that is based on the element and its associated element category. Data element categories are defined as follows:

- Required (R)—Indicates that the data element is necessary for record acceptance.
- Critical (C)—Indicates that the data element is of critical importance for any type of use.
- Priority (P)—Indicates that the data element is very important for legislative pricing.
- Supplemental (S)—Indicates that the data element is important for use in research studies. This category is for the Quarterly record type only.

Stage 4—Quarter End Validation

During the Quarter End Validation stage, which begins in the due quarter, edits for all data submitted for the Carrier Group are summarized for the entire quarter’s data, developing quality statistics across all submissions.

It is during this stage that additional edits and completeness and quality observations are made regarding the reasonability of the data, including comparisons across the Transactional and Quarterly records. This validation process will be enhanced as production data is received and processed in the future.
Summary Page

The purpose of the Indemnity Data Collection Summary page is to provide real-time information to help you monitor your Completeness and Quality reporting performance based on the results of your production-only file submissions for the current quarter, in comparison to four prior quarters for trending purposes.

This will be the first screen that users arrive at when logging into the tool if they have Carrier Group access. All other users will be taken directly to the File Results screen.

This screen defaults to the reporting quarter for which data is currently due.

For example, if the current date is July 1, 2020 (3Q2020), the reporting quarter and year displayed will be 2Q2020.

Upon selecting a different quarter, the data on the screen will change accordingly.

The Summary page is divided into two sections and their associated data:

- **Files**
  - Last 5 Files Received
    - Original Production Files Received
      - Transactional
      - Quarterly
      - Key Field
    - Indemnity Paid Comparison
      - Total Paid Transactions vs Expected
      - Transactional vs. Change in Quarterly Paid
  - Quality
    - Quarter End Results
      - Transactional
      - Quarterly
    - Percent of Total Records Returned
      - Transactional
      - Quarterly
    - Percent of Accepted Records
      - Replacements
      - Cancellations

**Files**

**Last 5 Files Received**

The purpose of this section is to show the Carrier Group the most recent five Indemnity files received by NCCI. The section will display the following information:

- Received Date
- Data Provider
- File Name (including whether it’s a certification/test file)
- File Type (Original or Replacement)
• Reporting Quarter
• File Status (Accepted or Rejected)

The goal is to reduce the need for the Carrier Group representative from having to go into the File Results screen if all they need to do is verify what files have been received by NCCI and when. To see more details about a file or to see a more complete list, you may either use the menu in the upper-left corner of the screen and select File Results. Or you may click on the title of this section, **Last 5 Files Received**. Either method will take you to the File Results screen to view more details on the Indemnity files received by NCCI.

**Note:** This section is not affected by the Reporting Quarter selection box. Regardless of what quarter/year you select, this will always display the most recent five files received.

**Original Production Files Received**
The purpose of this section is to provide the Carrier Group their total count of original production files that have been submitted in the current reporting quarter and prior quarters. The Carrier Group may determine whether they have submitted the correct number of files for the current quarter.

• Results will be broken out by record type, i.e., Transactional, Quarterly, Key Field Change
• Certification data, replacement files, and files that have been rejected are excluded

**Indemnity Paid Comparison**

• **Total Paid Transactions vs. Expected**
The purpose of this section is to provide the Carrier Group the Total Indemnity Paid for the current reporting quarter and prior quarters. This enables the Carrier Group to determine whether they have submitted the correct amount of Indemnity Paid dollars.

  NCCI also provides a Target or Minimum Expected Indemnity Paid amount that the Carrier Group can use as a guideline for how much should be reported for the given quarter. This is an estimated calculation that is based on the Carrier Group’s NAIC Direct Losses Paid from the prior calendar year.

• **Transactional vs. Change in Quarterly Paid**
  This section compares the aggregation of the Transaction Amounts for each individual claim from the Transactional records submitted for the selected quarter/year to the change in the Indemnity Paid-To-Date for these same claims from the prior quarter to the current quarter. The percentage difference is then calculated for each claim; and that claim is then placed into one of the five ranges in the graph.

  Ideally there would be no difference between the total amount paid during the quarter on Transactional records for an individual claim when compared to the change in the Indemnity Paid-To-Date Amount for that same claim on the Quarterly record from the prior quarter to the current quarter. But as transactional payments can cross quarters, there could be some differences. Claims falling into the smaller ranges would be expected, claims falling into the larger ranges would not be expected.
Quality

Quarter End Quality Results—Transaction and Quarterly

The purpose of this section is to give the Carrier Group a high-level view of the overall quality of their data. NCCI does this by providing them with a summary of the number of elements within range for each category by record type. The summary is based off the results of the Quarter End Quality Results. To get to the details, you can either use the menu in the upper-left corner of the screen and select Quarter End or you may click on the title of this section, Quarter End Quality Results. Either method will take you to the Quarter End Results screen where you can then select the Quality Results tab to see the results.

Percent of Total Records Returned

The purpose of this section is to provide the Carrier Group the total number of records that have been returned for the current and prior reporting quarters. A large spike in the volume of returned records could be indicative of a change in your source system, which is causing a quality issue.

Results will be broken out by record type: Transactional, Quarterly, and Key Field Change.

Percent of Accepted Records—Replacements and Cancellations

The purpose of this section is to provide to the Carrier Group the total number of replacement and Cancellation records that have been submitted for the current and prior reporting quarters. A large spike in the volume of either of these record types could be indicative of a change in your source system, which is causing or correcting a quality issue.

- Only applies to the Transactional record type
- Results will be displayed by Transaction type—replacements and cancellations
- If Option 2 is used for making changes to previously submitted transactions, the results in this section should be displayed as 0%
File Results

The purpose of the File Results screen is to enable users to:

- View the status of indemnity file submissions—files are either accepted or rejected
- Identify when files were submitted either by quarter, all quarters, and/or for a custom date range
- Identify which data providers have submitted files
- Download returned records for a selected file submission to review in your source system
- Select a file’s Production or Certification Submission Report, which identifies edits that evoked, including other information about the submission

This screen is viewable for all Indemnity Data Call data providers who have access to this tool. If you are a third-party data provider reporting on behalf of a Group with limited access, this will be the first screen you arrive at when accessing the tool. You will be able to see only the data you submit.

Once a file has been submitted, a DTVI email will tell you if the file is rejected or accepted and an additional email will be sent to notify the submitter of one or the other of the following subjects:

- NCCI - Indemnity - File not processed - Group: _____ - Data Provider: _____
- NCCI - Indemnity - Quality Tracking Results available - Group: _____ - Data Provider: _____

Note: Group will be followed by the numeric Group Code, which represents who the submitter is reporting for. Data Provider will be followed a numeric ID, which represents either the Carrier Code or Data Provider ID if it is a third-party reporter.

Each email will contain a link that will take you directly to the Indemnity Data Collection tool, where you will be able to access the results of the corresponding file submission.

This screen is divided into two components:

- Search section
- Results section
The Search section provides the following information:

- **Reporting Quarter**—this field defaults to the reporting quarter for which data is currently due. 
  
  *Example:* If the current date is October 1, 2019, the Reporting Quarter defaults to 3Q2019 with an associated Due By Date of December 31, 2019.

  You can keep the defaulted quarter/year or select the most recent prior quarters, which are listed in descending order for you to select from. Above the defaulted reporting quarter, there is an additional quarter/year (which is the current quarter/year the user is in, i.e., the due quarter/year), and an All Quarters option. Upon selecting the All Quarters option, the user will see their submissions for the entire time frame, in descending order from the most recent file submitted.

- **Received Date Range**—this date range selector is used in conjunction with the Reporting Quarter field. You can search for a specific date range within a quarter or, if the All Quarters option is selected, you can select a date range that spans across quarters. Note that the Reporting Quarter associated with each file will be displayed in the result set. You can enter a From Date without a To Date; however, if the To Date is populated, you must enter a From Date. The date selector limits searches within a one-year time frame based on the dates entered.

- **Submission Type**—this field identifies the type of records in the submission, whether they are Transactional, Quarterly, or Key Field Change records. The filter defaults to both options selected. To view only one, simply uncheck the other two non-applicable blue check boxes. To identify the different submission types, look at the beginning of each file name: idctrans—Transactional file; idcqtrly—Quarterly file; idckey—Key Field Change file.

- **File Process Type**—this field identifies the type of file processed. The file type is identified by the file name extension. The file extension TXT identifies a Production file. The file extension TST identifies a Certification/Test file. The field defaults to both these options checked. To view only one, simply uncheck the applicable blue check box. To identify Certification/Test files in the result set, you can either look for the file name extension (TST) or the orange dot to the right of the File Name in the results.

- **File Status**—this field identifies the file status as either Rejected (i.e., the file has not processed) or Accepted (i.e., the file has processed, and a Submission Report with the edit results is available). The filter defaults to both options selected. To view only one, simply uncheck the applicable blue check box.

  *Note:* If a file is still in the processing stage, it will display In Progress.
The Results section provides information in the following columns:

- **Data Provider**—displays the numeric code of the data provider who submitted the file. The data provider may be a part of the Group (visible in the top-right of the screen), or a third-party service provider that has been contracted to submit on behalf of the Group.

- **File Name**—displays the name of the file submitted. Certification/Test files will be identified with an orange dot to the right of the file name.

- **File Type**—identifies the type of file submitted. This information is taken from the File Control Record. It will display either Original, Replacement, or Key Field Change.

- **File Submission ID**—displays the unique File Submission Identifier that was reported in the File Control Record for the applicable file. It also assists you in identifying your file more easily as it can be customized to suit your business need for file identification. You may wish to have the data providers customize the ID so you can identify which files they’ve submitted.

- **Reporting Quarter**—identifies the reporting quarter/year as reported in the File Control Record. This column is useful if you are conducting a search across multiple quarters by using the All Quarters option in the Reporting Quarter field in the Search section.

- **Received Date**—displays the date and time the file was received at NCCI. This column is sorted in descending order, as a default, from the most recent date/time a file was submitted (i.e., your current submissions will always be displayed at the top). This column can also assist you in identifying your files to review their associated results.

- **Records Submitted**—displays the total number of records submitted in the file, including those that were not processed (i.e., returned). If this count is different than what was reported in the File Control Record, the file will display Rejected in the File Status column.

- **File Status**—displays the file status Accepted (green) or Rejected (red). If a file receives a Rejected status, it means that the file has rejected during the File Acceptance Editing phase. See Stages of Editing for more information.

- **View Results**—displays a report icon, regardless of whether the file was accepted or rejected. Click on this icon to access the detailed results of your submission. If your file rejected, you will be able to identify the reject reasons to assist you in re-submitting your file successfully. If your file was accepted, you will be able to see the results for the Record Acceptance and Quality Tracking edits.

- **Returned Records**—identifies whether records in your submission were not able to be processed because required elements were not reported accurately. These unprocessed records are returned to you and not used in the Call. If records are returned, a download icon displays in the column. The number next to the icon represents the count of records returned. The count in the Records Submitted column minus the count in the Returned Records column yields the count of the records in the file that were accepted. **Note:** The File Status will display Accepted even if all the records in the file are returned due to the fact the File Control Record was accurately reported.

A CSV file will be available for you to view with the necessary key fields to help you identify which claims in your system were impacted. Upon clicking on a cloud icon, a file appears at the bottom of your screen and displays the progress of the download. The time it takes to complete the download will vary depending on the size of the file. You can continue using the tool while the download takes place.

Within the file, you will see the associated edit number and description of each record that was returned. Please note that if a record were to fail more than one record acceptance edit, there will be more than one row for that record as each row in the file represents a single edit (or reason) for a record being returned. Upon opening the Submission Report in the View Results column, you will also see which elements contained returned records, along with the edit details and associated counts of returned records.

If no records were returned in your file submission, you will not see anything in this column.
Sortable Columns—All columns are sortable in the results except for View Results. Simply click on the column name to sort either in descending order (a downward facing arrow will be displayed next to the column name) or ascending order (an upward facing arrow will be displayed).

Refresh Button—This circular blue arrow appears above the results section to the right. It can be used to refresh the results on your screen.

Return to Top Arrow—If you have a high volume of files in your results and find yourself scrolling down the page, use the Return to Top Arrow at the bottom-right of the screen to bring you back to the top of your results.
Submission Reports

The purpose of the Submission Report is to identify the population, validity, and quality results of data reported on each file submission by providing the following details:

- Rejected File Edit Results
- Returned Record Edit Results
- Quality Tracking Edit Results
- Key Field Verification Results
- Informational Details Reported

It is accessed by clicking on the report icon under the View Results column in the File Results screen:

The report also includes general information on the file submission, such as:

- Submitter Information—who submitted the file, along with their email address
- Submission Details—displays information such as the record type (Transactional or Quarterly), File Name, Submission File ID
- Validator Information—the Primary (main) validator who will be working with you to validate your data, in addition to the Secondary (back-up) validator

General Information

Types of Submission Reports
At the top-left of the screen, you will see the title File Results—Production Report or File Results—Certification Report. This identifies the file process type the file was submitted as by the user. If the file has a TXT extension, it is a production file. If it has a TST extension, it is a certification or test file. With the exception of the File Results and the Submission Report screens, all other screens within this tool include production data only.

If the file rejected, you will see the title File Rejected.
Submitter Information
This section provides the details on the submitter of the file:

![Submitter Information]

**Carrier Group**—this represents the 5-digit Carrier Group ID that was reported in the File Control Record, along with the associated name of the Carrier Group.

**Data Provider**—this identifies the data provider who submitted the file. A data provider can be part of the Carrier Group or a third-party data provider. Their numeric code will be displayed, along with the name of the associated company.

**Submitter**—this identifies the person who submitted the file. It displays their User ID, along with their name.

**Submitter Email**—this displays the submitter’s email address for contact purposes.

Submission Details
This section provides the details of the file submitted:

![Submission Details]

**TRANSACTIONAL, QUARTERLY, or KEY FIELD CHANGE**—displays the record type submitted.

**NQYYYY**—represents the reporting quarter/year reported in the File Control Record.
% of Records with Transaction Identifier—appears only on the Transactional record. It is for informational purposes only and lets you and the validator understand which reporting method the submitter is using to report the data (i.e., Option 1 or Option 2). Typically, we would expect either approximately 100% for those using Option 1 or 0% for those using Option 2. If this is a number in the middle, then this could be mean there is an issue with how this field is being used or populated.

File Name—identifies the selected file the user is reviewing.

Submission File ID—helps identify the file the user is reviewing. This field must be reported as a unique field for each Original file submission. The File Name does not have to be uniquely named.

Received—displays the date and time the file was received by NCCI.

Validator Information

  Primary—displays the name of the primary validator assigned to the carrier group
  Secondary—displays the name of the secondary or back-up validator assigned to the carrier group or Not assigned if there isn’t one

Rejected File Edit Results

When the Submission Report for a Rejected File has been selected, a new screen will appear labeled in red with File Rejected:

The left side of the screen provides you with the Submitter Information, Submission Details, and Validator Information. At the top of the screen will be a section called Rejected File Edit Results. The purpose of this section of the Submission Report is to identify why a file rejected and did not get processed.

Here you will see the following:

- **Element**—identifies which element(s) received an edit(s).
- **Edit Description**—describes why the element received an edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is located in Part 9 of the *Indemnity Data Call Reporting Guidebook* in the Manuals Library.

Refer to the Stages of Editing to learn more about File Acceptance Edits and steps to take to correct your data.

Once you’ve reviewed the edits on this screen, we recommend you review your file, make the applicable corrections to it or to your source system as needed, submit a file with the changes, and review the new results.

To exit out of this page, click the white X within the blue bar at the top-left of the screen.

**Returned Record Edit Results**

When a Submission Report for an accepted file has been selected, a new screen will appear labeled File Results—Production Report (or File Results—Certification Report, depending on which file process type you selected).

The purpose of this section of the Submission Report is to identify the detailed reasons why individual records were not accepted. The default view displays summary information in a tile format with the main purpose to show you the count and percent of records that were returned from your file submission.

If you wish to expand the summary to view more details, you can click on the blue button with the black arrow to the left of the tiles. If you did not have any records returned in your file, you will see the message **No data found** when you expand the section. Depending on the record type you submitted, you will see different information in the summary:

**Returned Record Edit Results Summary—Transactional Records**

The following tiles will be displayed from left to right:

- **All**—this represents the returned record results for all transaction types reported in the file:
  - **NN.N%**—displays the percent of all records returned divided by the total number of records submitted for all transaction codes reported. Either a 0% in blue will be displayed, indicating there are no returned records, or a percent greater than 0% will be displayed in red. This identifies records that cannot be used for the Call and that need to be reviewed and resubmitted. These individual records can be accessed on the File Results screen (see File Results).
  - **Returned**—identifies the number of records returned out of the entire file submission.
Submitted—identifies the total number of records submitted. It matches the Records Submitted on the File Results screen.

Original—this represents the same information as the All tile above; however, it includes only records reported with Transaction Codes of 01—Original records.

Cancellation—this represents the same information as the All tile above; however, it includes only records reported with Transaction Codes of 02—Cancellation records. Some users may always see a 0% in this tile if they use Option 2, which uses only Transaction Code 01—for Original records.

Replacement—this represents the same information as the All tile above; however, it includes only records reported with Transaction Codes of 03—Replacement records. Some users may always see a 0% in this tile if they use Option 2, which uses only Transaction Code 01—for Original records.

Other—represents the same information as the All tile above; however, it includes only records reported with Transaction Codes that do not equal 01 (Original), 02 (Cancellation), or 03 (Replacement). This tile identifies invalid values reported for the Transaction Code.

Returned Record Edit Results Summary—Quarterly and Key Field Change Records
For these records, only the All tile will be displayed. The Quarterly and Key Field Change records are not reported with transaction codes.

All—this represents the returned record results for all records reported in the file:

- NN.N%—displays the percent of all records returned divided by the total number of records submitted. Either a 0% in blue will be displayed, indicating there are no returned records, or a percent greater than 0% will be displayed in red. This identifies your records that cannot be used for the Call and that need to be reviewed and resubmitted. These individual records can be accessed on the File Results screen (see File Results).
- Returned—identifies the number of records returned out of the entire file submission.
- Submitted—identifies the total number of records submitted. It matches the Records Submitted on the File Results screen.

Returned Record Edit Results Details—All Records
Upon expanding the summary section, you will see the following detailed information:

- Element—identifies which element(s) received an edit(s).
• **Returned Records:**
  - Total—displays the count of total records returned for the given element
  - Percent—displays the count of records returned for the given element divided by the total records submitted in the file

• **Edit Count**—displays the count of occurrences of an edit.

• **Edit Description**—describes why the element received the individual edit.

• **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is located in Part 9 of the Indemnity Data Call Reporting Guidebook in the Manuals Library.

- Note that the total number of returned records in the file may not equal the sum of all returned records for each element. The reason for this is that more than one element per record could receive an edit that causes the record to be returned.

Refer to the Stages of Editing to learn more about Record Acceptance Edits and steps to take to correct your data.

Once you’ve reviewed the edits on this screen, we recommend you review your source system, make any applicable corrections to it, and determine whether you need to resubmit the records that were returned.

To exit out of this page, click the white X within the blue bar at the top-left of the screen.

**Quality Tracking Edit Results—Transactional and Quarterly Files Only**

The purpose of this section of the Submission Report is to allow you to gauge the quality of the data you are reporting. This stage of editing checks the population and validity of the remaining data elements in the Transactional and Quarterly records after they have passed the File and Record Acceptance stages of editing.

- Refer to the Stages of Editing to learn more about Quality Tracking Edits and steps to take to correct your data.

---

**Quality Tracking—Transactional Record Summary**

![Image of Quality Tracking—Transactional Record Summary](image)

**Quality Tracking—Quarterly Record Summary**

![Image of Quality Tracking—Quarterly Record Summary](image)
Quality Tracking Edit Results—Summary
The default view for this section displays a summary in a tile format for each category of elements. These categories will vary slightly depending on the record type of the file. Each category provides the total number of elements and the associated number that are *Within Range*. In the Required category, for example, 2 of 2 *Within Range* indicates there are two elements that are meeting or exceeding a tolerance threshold.

The tolerances are set as an internal gauge of each element’s quality. While the Call matures, NCCI monitors all carriers with Quality Tracking results and resets the tolerances as appropriate. The summary provides information for you to understand how you’re performing with your data quality.

Each record type has the following element categories:
- Transactional Record—Required (2 of 2), Critical (6 of 6), and Priority (3 of 3)
- Quarterly Record—Required (2 of 2), Critical (17 of 17), Priority (7 of 7), and Supplemental (6 of 6)

As a reminder, the data element categories are defined as follows:
- Required (R)—the data element is necessary for record acceptance.
- Critical (C)—the data element is of critical importance for any type of use.
- Priority (P)—the data element is very important for legislative pricing.
- Supplemental (S)—the data element is important for use in research studies. This category is for the Quarterly record only.

Even if the summary displays all elements within the range, it is extremely important that you expand the summary to view the underlying details. Your results may be close to the tolerance threshold and warrant additional review. It is also worth looking at the various edit downloads for any of the invalid value edits to see why you are providing invalid values. You may have a mapping issue that can be resolved systematically.

Quality Tracking Edit Results—Details
To view the underlying details, click on the blue button with the black arrow to the left of the tiles. You will see a grid divided into the categories of elements. Here is an example:
For each category, you will see:

- **Element**—identifies which element(s) received an edit(s).
- **Passing Records**—displays the number of records that did not receive an edit for that element divided by the number of records submitted.
- **Edit Count**—displays the count of occurrences of an edit.
- **Edit Description**—describes why the element received an edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is located in Part 9 of the *Indemnity Data Call Reporting Guidebook* in the Manuals Library.
- **Edit Results**—provides a file to download containing the edit details.

This grid will always display the category and elements in the same order to provide for consistent viewing. Any Passing Record below the pre-mentioned threshold will be displayed in red. The count of each element that is equal to or greater than the threshold will be considered **Within Range** for its applicable category and is what determines the summary results.

**Informational Edits**

At the top-left of the grid, you will see a legend with a blue dot and the words “Informational Edit.” Some categories and elements may contain these edits, which are identified on the left of the Edit Number with the blue dot. These edits are **NOT** included in the Passing Records percent. Informational Edits are not considered important enough on their own to be counted towards a future compliance program. Their purpose is for you to monitor their occurrences because they could indicate a larger quality issue. We recommend that you review your data to see if it warrants a correction in your system.

**Downloading Edit Results**

Next to each edit will be a cloud icon for you to click on. A CSV file will appear on your screen for you to open and view which records were impacted by each edit. The record’s key fields will be included in the file, along with all necessary elements for you to troubleshoot the issue and determine whether any corrections to your source system are necessary.

- The number of records within this file may be less than the amount displayed on the screen due to subsequent file submissions that may either cancel or replace the prior record, thereby eliminating the edit.

A CSV file will be available for you to view with the necessary key fields to help you identify which claims in your system were impacted. Upon clicking on a cloud icon, a file appears at the bottom of your screen and displays the progress of the download. The time it takes to complete the download will vary depending on the size of the file. You can continue using the tool while the download takes place.

---

**Example of Downloaded Edit**

![Example of Downloaded Edit](image)
No Quality Tracking Results

There may be instances when the summary results display N/A for each category. When you expand the summary, it displays this message: **Results are not displayed as there are no records available to run Quality Tracking edits against.** This could indicate that either all the records you submitted in the file were returned or the file you submitted may have included only Cancellation records.

![Quality Tracking Edit Results](image)

Key Field Verification Results—Transactional and Quarterly Files only

The Submission Report provides the Key Field verification results for the individual file to help you identify any key field matching issues specific to the file.

![Key Field Verification Results](image)

We compare four sets of parameters, two each for Policy and Unit data, to the Indemnity data each time you submit a Transactional or Quarterly file. The parameters are as follows:

**POLICY DATA**
- Carrier Code and Policy Number
- Carrier Code, Policy Number, and Policy Effective Date

**UNIT DATA**
- Carrier Code, Policy Number, and Policy Effective Date
- Carrier Code, Policy Number, Policy Effective Date, and Claim Number
For the comparison to Policy data, NCCI will only look to match the key fields between the two data types for policies up to 48 months old; based upon the Policy Effective Date of the claim submitted on the Indemnity Data Call. If the claim is from a policy older the 48 months, NCCI will **not** try to match it to the Policy data. We feel it would be unreasonable to ask you to research the discrepancy and correct the key fields in your system to match between the two data types.

Likewise, for the Unit Statistical data, we match claims with Policy Effective Dates that are between 21 and 48 months old. NCCI chose 48 months for the same reason as the Policy data comparison and 21 months to ensure that the Unit Statistical data had ample time to be submitted.

This screen displays the following information from left to right:

- **Data Type**—identifies which data type comparison the parameters and results are being derived from
- **Verification Parameters**—displays the combination of key fields that are being used in the comparison
- **Key Fields Reviewed**—indicates the number of unique key field combinations that were used in the comparison
- **Key Fields Found**—shows the number of unique key field combinations that were found in the comparison
- **Percentage Found**—displays Key Fields Found / Key Fields Reviewed as a percentage
- **Key Fields Not Found**—provides a file to download containing the details of the key fields not found

**Downloading Key Fields Not Found**

Next to each edit will be a cloud icon for you to click on. Upon clicking on it, a file appears at the bottom of your screen and displays the progress of the download. The time it takes to complete the download will vary depending on the size of the file. You can continue using the tool while the download takes place.

Once you open the file, you can view which records were impacted by each edit. The Data Type, Verification Parameters, Policy Effective Date Range, and each record’s key fields will be included in the file to identify all of the claims in which NCCI could not find a corresponding match. You should research these and determine whether any corrections to your source system are necessary.

The purpose of this screen is to bring to your attention how well the specific key fields from the Indemnity Data Call match the same key fields on the Policy and Unit Statistical data submitted by/for your company.

**Informational Details Reported**

The Submission Report provides additional information on each file you submit to help you identify invalid values reported, in addition to trends in your data.

The following sections are provided for the Transactional and Quarterly files:

- **Carrier Codes**—viewable for both the Transactional and Quarterly file
- **Non-IDC Jurisdiction State Codes**—viewable for both the Transactional and Quarterly file
• **Benefit Type Codes**—viewable for the Transactional file only

![Informational Details Reported]

**Carrier Codes**

At the summary level, this section provides the number of unique Carrier Codes that NCCI expects you to report. These are the codes that belong to your Carrier Group. The Unique Not Expected count provides the number of unique Carrier Codes that NCCI does **not** expect you to report. This count will also include invalid codes reported. Click on the blue button with the black arrow to expand on the summary section and view the detailed information reported.

![Carrier Codes]

This information is broken out into three columns:

• **Carrier Code**—displays the unique Carrier Codes reported
• **Not Expected**—displays the record count of those Carrier Codes that are not expected (if any)
• **Expected**—displays the record count of unique Carrier Codes that NCCI expects

**Note:** All counts include returned records because records submitted with invalid or unexpected carrier codes cause the record to be returned.

If you see any counts in the Not Expected column, research the reported values in your source system to troubleshoot why they are appearing as Not Expected. These edits will also evoke in this report in the section Returned Record Edit Results.

To collapse the detail view and return to the summary view, click the blue button with the black arrow.
Non-IDC Jurisdiction State Codes

At the summary level, this section provides the total count of non-Indemnity Data Call jurisdiction state codes reported in the file. If the count is zero, this section will be grayed out. If the count is greater than zero, the section will be expandable to view additional details, and the Total Count will appear in red.

Click on the blue button with the black arrow to expand on the summary section and view the detailed information reported.

This information is broken out as follows:

- **State**—displays the non-IDC jurisdiction state reported in the state format SS-NN, where SS = the state abbreviation and NN equals the associated state code. If the state is invalid, it will display as reported. If this element was left blank, you will see a record with only a count of occurrences populated.

- **Count**—this column provides the associated count of occurrences the applicable value was reported.

  **Note:** All counts exclude returned records.

If you see any non-IDC jurisdiction states reported, you will also receive edits for these, which are viewable in this report in the Quality Tracking Edit Results section. The purpose of this informational section is to help you identify what value(s) you reported in your file submission that caused these edits to evoke, so you can research them further.

To collapse the detail view and return to the summary view, click the blue button with the black arrow.
Benefit Types

At the summary level, this section provides the count of unique invalid and unique valid benefit type codes reported in the file. If there is one or more invalid code reported, the invalid count will appear in red to draw your attention to it.

By clicking on the blue button with the black arrow, you can expand on the summary section to view the detailed information reported.

This information is broken out as follows:

- **Benefit Type Code**—displays all Benefit Type Code values reported. Invalid values are displayed first, from highest to lowest percent of each value reported. Valid values are then displayed in the same order.

- **Description**—displays the associated descriptions for valid Benefit Type Codes, which are located in the *Indemnity Data Call Reporting Guidebook*.

- **%**—displays the percentage of occurrences each code is reported in the file.

**Note:** All counts exclude returned records.

If you see any invalid Benefit Type Codes reported, you will also receive edits for these, which are viewable in this report in the Quality Tracking Edit Results section. The purpose of this informational section is to help you identify what value(s) you reported that caused these edits to fire, so you can research them further. The cause may be a systemic or mapping issue that needs to be corrected. This section will also help you to see if you are submitting a disproportionate percentage of a particular Benefit Type Code, whether valid or invalid.

To collapse the detail view and return to the summary view, click the blue button with the black arrow.
There following sections are provided for the Key Field Change file only:

- Claims Impacted—displays the total number of claims impacted, i.e., updated, by the Key Field Change file
- Transactional Impacted—displays the total amount of transactional records that were impacted, i.e., updated, by the Key Field Change file
- Quarterly Impacted—displays the total amount of quarterly records that were impacted, i.e., updated, by the Key Field Change file

<table>
<thead>
<tr>
<th>Informational Details Reported</th>
<th>C</th>
<th>T</th>
<th>Q</th>
</tr>
</thead>
<tbody>
<tr>
<td>Claims impacted</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transactional impacted</td>
<td></td>
<td>22</td>
<td></td>
</tr>
<tr>
<td>Quarterly impacted</td>
<td></td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>
Quality Tracking Results

The purpose of the Quality Tracking Results screen is for you to gauge the aggregate quality of the data you’ve reported. This stage of editing checks the population and validity of the remaining data by data element after they have passed both the File Acceptance and Record Acceptance stages of editing. Results are refreshed after each file submission.

To access the Quality Tracking Results section, click the main menu icon and select Quality Tracking Results.

Upon accessing this screen, you will see it’s divided into two tabs to select from, one for each record type:

- Transactional—the default tab
- Quarterly

These results are identical to the Quality Tracking Edit Results Details in the Submission Report; however, this screen provides the aggregated results of all data submitted to date for your Carrier Group for the applicable quarter/year selected.

In addition, the aggregated results are separated out by each unique Data Provider that reports for the Carrier Group, with all the results also aggregated at the Carrier Group level at the top of the screen.
If you have access to this tool at the Carrier Group level, you will be able to view results for all files aggregated both at the Data Provider level and the Carrier Group level.

If you do not have access to this tool at the Carrier Group level, you will see only the aggregate results of the files you submit at the Data Provider level.

Click on the blue button with the black arrow to expand on the summary row to view detailed information. For both the Carrier Group and Data Provider levels, you will see each Element Category and the associated results (see below):
Quality Tracking Edit Results—Details

For each category, you will see the following:

- **Element**—identifies which element(s) received an edit(s).
- **Passing Records**—displays the number of records that did not receive an edit for that element divided by the number of records submitted.
- **Edit Count**—displays the count of occurrences of an edit.
- **Edit Description**—describes why the element received an edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is located in Part 9 of the Indemnity Data Call Reporting Guidebook in the Manuals Library.
- **Edit Results**—provides a file to download containing the edit details.

This grid will always display the category and elements in the same order to provide for consistent viewing. Any Passing Record below the pre-mentioned tolerance threshold will be displayed in red. The count of each element that is equal to or greater than the threshold will be considered Within Range for its applicable category and is what determines the summary results.

Informational Edits

At the top-left of the grid, you will see a legend with a blue dot and the words “Informational Edit.” Some categories and elements may contain informational edits, which are identified on the left of the Edit Number with the blue dot. These edits are **NOT** included in the Passing Records percent. Informational Edits are not considered important enough on their own to be counted towards a future compliance program. Their purpose is for you to monitor their occurrences because they could be indicative of a larger quality issue. We recommend that you review your data to see if it warrants a correction in your system.

Downloading Edit Results

Next to each edit will be a cloud icon for you to click on. A CSV file will appear on your screen for you to open and view which records were impacted by each edit. The record’s key fields will be included in the file, along with all necessary elements for you to troubleshoot the issue and determine whether any corrections to your source system are necessary.

- The number of records within this file may be less than the amount displayed on the screen due to subsequent file submissions after the quarter has closed, which may either cancel or replace the prior record, thereby eliminating the edit.

A CSV file will be available for you to view with the necessary key fields to help you identify which claims in your system were impacted. Upon clicking on a cloud icon, a file appears at the bottom of your screen and displays the progress of the download. The time it takes to complete the download will vary depending on the size of the file. You can continue using the tool while the download takes place.

No Quality Tracking Results

There may be instances when the summary results display N/A for each category. When you expand the summary, it displays this message: **Results are not displayed as there are no records available to run Quality Tracking edits against.** This could indicate that either all the records you submitted in the file were returned or the file you submitted may have included only Cancellation records.
Quarter End Results

The purpose of the Quarter End Results is for you to gauge the completeness and quality of the data you’ve reported. This stage of editing compares the two record types (Transactional and Quarterly) to each other and looks at the progression of individual claims in comparison to prior quarterly versions of themselves now that they have passed the File Acceptance, Record Acceptance, and Quality Tracking stages of editing.

Note that only users that have Carrier Group level access will be able to access the Quarter End Results option in the main menu.

To access the Quarter End Results section, click the main menu icon and select **Quarter End Results**.

The data within the Quarter End screens is real-time and will change dynamically after each file submission. However, once a quarter is considered closed (the day after the reporting quarter due date), data can still be submitted; however, changes to your data will not be reflected on any Quarter End screens.

Upon accessing this screen, you will see it’s divided into three sections:

- Completeness—the default tab
- Quality Results
- Observations
Completeness

This screen is divided up into the following sections, each displaying data by the Transactional and Quarterly record types:

- Record Distributions
- Unique Claim Information
- Indemnity Paid Distributions
- Indemnity Paid on Matching Claims

Record Distributions

The purpose of this section is to see the counts of records submitted, accepted, and returned to allow you to monitor the distribution of accepted records versus returned.

You have the option to drill down further to view the breakout of your accepted records by carrier or by jurisdiction state to make sure all your carriers and states are being represented by the data that has been submitted each quarter.

You can do this by clicking on the orange grid icon to display a pop-up box with the details. Click **CLOSE** at the bottom-right of the box to close the grid.
Unique Claim Information

The purpose of this section is to see the count of unique claims reported by quarter and see what percent of these match from the Transactional record to the Quarterly record, and vice versa.

This has been provided since there should be a Quarterly record submitted for every claim that had a Transactional record submitted within a given quarter. However, there could be some Quarterly records that were submitted due to a change to one of the Paid or Incurred elements (other than Indemnity Paid-To-Date) where there would not be a corresponding Transactional record. You have the option to drill down further to see the counts of unique claims distributed by carrier or by claim status.
You can do this by clicking on the orange grid icon to display a pop-up box with the details. Click **CLOSE** at the bottom-right of the box to close the grid.

If there are claims reported on the Transactional record that are not found on the Quarterly record, this could indicate that the Quarterly record is missing claim information or that key fields are not being reported consistently across the two record types.

If there are claims reported on the Quarterly record that are not found on the Transactional record, this could indicate that payments have been reported on the Quarterly record that are missing on the Transactional record. Or that the Quarterly record was submitted due to a change to a Paid or Incurred element other than Indemnity Paid-To-Date.

**Indemnity Paid Distribution**

The purpose of this section is to see the total Indemnity Paid (minus Subrogation Recoveries) for the Transactional records received within the quarter. You have the option to drill down further by the Benefit Type Code, by Carrier, or by the Jurisdiction State reported (including an Expected Indemnity Paid broken out by Jurisdiction State and calculate for the quarter just like the Summary Page). Invalid Benefit Type Codes and Jurisdiction States are aggregated into a single row; Invalid Value(s).

For the Quarterly records, this is total Indemnity Paid-To-Date for the current quarter. You also have the option to drill down further by Carrier. To drill down further to see the distributions, click on the orange grid icon to display a pop-up box with the details. Click **CLOSE** at the bottom-right of the box to close the grid.
If any of the distributions do not look as expected, then you could have a mapping issue within your system, which would need to be addressed.
**Indemnity Paid on Matching Claims**

The purpose of this section is to display the Total Indemnity Paid on those unique claims that match from the Transactional records to the Quarterly records, or vice versa.

![Indemnity Paid on Matching Claims](image)

If the percentage in the Unique Claim Information section for both Transactional and Quarterly records is 100%, then the Total Indemnity Paid in this section for both Transactional and Quarterly records are expected to be identical amounts. The greater the difference the two percentages are in that section, the greater difference the two paid amounts are likely to be in this section.

To drill down further to see the distributions by carrier, click on the orange grid icon to display a pop-up box with the details. Click **CLOSE** at the bottom-right of the box to close the grid.
Quality Results

The purpose of the Quarter End Quality Results screen is for you to gauge the quality of the data elements you’ve reported. This stage of editing checks the population and validity of the remaining elements after they have passed both the File Acceptance and Record Acceptance stages of editing.

To access the Quarter End Quality Results section, click on the main menu, Quarter End Results, and then select the Quality Results tab.

These results are similar to the Quality Tracking Results screen; however, they are aggregated only at the Carrier Group level and not at each individual Data Provider level. They also include additional Quarter End edits. These can be found in the Edit Matrix in Part 9 of the Indemnity Data Call Reporting Guidebook in the Manuals Library.

These additional edits are intended to compare the two records types (Transactional and Quarterly) to each other. They also look at the progression of individual claims in comparison to prior quarterly versions of themselves now that they have passed the File Acceptance, Record Acceptance, and Quality Tracking stages of editing.

Upon accessing this screen, you will see it’s divided into two sections, one for each record type:

- Transactional—located at the top of the screen
- Quarterly—located below the Transactional section

Within each record type, you will see each Element Category and the associated results (see below):
Click on the blue button with the black arrow to expand on the summary row to view detailed information.

For each category, you will see the following:

- **Element**—identifies which element(s) received an edit(s).
- **Passing Records**—displays the number of records that did not receive an edit for that element divided by the number of records submitted.
- **Edit Count**—displays the count of occurrences of an edit.
- **Edit Description**—describes why the element received an edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is located in Part 9 of the *Indemnity Data Call Reporting Guidebook* in the **Manuals Library**.
- **Edit Results**—provides a file to download containing the edit details.

This grid will always display the category and elements in the same order to provide for consistent viewing. Any Passing Record below the aforementioned tolerance threshold will be displayed in red. The count of each element that is equal to or greater than the threshold will be considered *Within Range* for its applicable category and is what determines the summary results.

### Informational Edits

At the top-left of the grid you will see a legend with a blue dot and the words “Informational Edit.” Some categories and elements may contain these edits, which are identified on the left of the Edit Number with the blue dot. These edits are **NOT** included in the Passing Records percent. Informational Edits are not considered important enough on their own to be counted towards a future compliance program. Their purpose is for you to monitor their occurrences because they could indicate a larger quality issue. We recommend that you review your data to see if it warrants a correction in your system.

### Downloading Edit Results

Next to each edit will be a cloud icon for you to click on. A CSV file will appear on your screen for you to open and view which records were impacted by each edit. The record’s key fields will be included in the
file, along with all necessary elements for you to troubleshoot the issue and determine whether any corrections to your source system are necessary.

- The number of records within this file may be less than the amount displayed on the screen due to subsequent file submissions after the quarter has closed, which may either cancel or replace the prior record, thereby eliminating the edit.

A CSV file will be available for you to view with the necessary key fields to help you identify which claims in your system were impacted. Upon clicking on a cloud icon, a file appears at the bottom of your screen and displays the progress of the download. The time it takes to complete the download will vary depending on the size of the file. You can continue using the tool while the download takes place.

No Quality Results to Display

There may be instances when the summary results display N/A for each category. When you expand the summary, it also displays this message: **Results are not displayed as there are no records available to run Quality Tracking edits against.** This could indicate that either all the records you submitted in the file were returned or the file you submitted may have only included Cancellation records.

Observations

The purpose of this screen is to provide you with additional observations to help capture specific trends and potential issues with your data. To access the Quarter End Observations section, click on the main menu, **Quarter End Results**, and then select the **Observations** tab. There are two tabs you can select from to review results—the Transactional record types and Quarterly record types. The default tab is for the Transactional records.

This screen displays the following information from left to right:

- **Element**—identifies which element(s) received an edit(s).
- **Edit Description**—describes why the element received an edit.
- **Edit Number**—identifies the associated edit number that corresponds to the edit description. It will help you easily find this edit in the Edit Matrix. The Edit Matrix is located in Part 9 of the *Indemnity Data Call Reporting Guidebook* in the *Manuals Library*.
- **Records Subject to Edit**—represents the number of records subject to the edit for the quarter selected.
- **Edit Count**—displays the count of occurrences of that edit.
- **Edit %**—shows the Edit Count divided by Records Subject to Edit displayed as a percent.
- **Edit Results**—provides a file to download containing the edit details.

These observations indicate situations that may occur on individual claims but in large quantities may indicate possible quality issues. These can be found in the Edit Matrix in Part 9 of the *Indemnity Data Call Reporting Guidebook* in the *Manuals Library*. 
Downloading Edit Details

Next to each edit will be a cloud icon for you to click on. A CSV file will appear on your screen for you to open and view which records were impacted by each edit. The record’s key fields will be included in the file, along with all necessary elements for you to troubleshoot the issue and determine whether any corrections to your source system are necessary.

- The number of records within this file may be less than the amount displayed on the screen due to subsequent file submissions after the quarter has closed, which may either cancel or replace the prior record, thereby eliminating the edit.

A CSV file will be available for you to view with the necessary key fields to help you identify which claims in your system were impacted. Upon clicking on a cloud icon, a file appears at the bottom of your screen and displays the progress of the download. The time it takes to complete the download will vary depending on the size of the file. You can continue using the tool while the download takes place.
Key Field Verification

To access the Key Field Verification screen, click on the main menu icon and select Key Field Verification.

❖ Note that only users that have Carrier Group level access will be able to access the Key Field Verification option in the main menu.

The purpose of this screen is to match specific key fields from production TXT indemnity records submitted to these same key fields in the Policy and Unit data to ensure that the key fields are being reported consistently across the three data types. Note that this screen includes those records for production files only. We do, however, provide this information for individual file results for Certification files. You can find this information in the Submission Report section in this User’s Guide.

Every time you submit a Transactional or Quarterly file, we compare four sets of parameters, two each for Policy and Unit data, to the indemnity data. The sets of parameters are:

POLICY DATA
- Carrier Code and Policy Number
- Carrier Code, Policy Number, and Policy Effective Date

UNIT DATA
- Carrier Code, Policy Number, and Policy Effective Date
- Carrier Code, Policy Number, Policy Effective Date, and Claim Number

Every time you submit a Transactional or Quarterly file to NCCI, the statistics are calculated for each of these four sets of parameters and will be aggregated and displayed within this screen. The results will always be inception of the Call to date.

For the comparison to Policy data, NCCI will only look to match the key fields between the two data types for policies up to 48 months old; based upon the Policy Effective Date of the claim submitted on the Indemnity Data Call. If the claim is from a policy older the 48 months, NCCI will not try to match it to the Policy data. We feel it would be unreasonable to ask you to research the discrepancy and correct the key fields in your system to match between the two data types.

Likewise, for the Unit Statistical data, we match claims with Policy Effective Dates that are between 21 and 48 months old. NCCI chose 48 months for the same reason as the Policy data comparison and 21 months to ensure that the Unit Statistical data had ample time to be submitted.
This screen displays the following information from left to right:

- **Data Type**—identifies which data type comparison the parameters and results are being derived from
- **Verification Parameters**—displays the combination of key fields that are being used in the comparison
- **Key Fields Reviewed**—indicates the number of unique key field combinations that were used in the comparison
- **Key Fields Found**—shows the number of unique key field combinations that were found in the comparison
- **Percentage Found**—displays Key Fields Found / Key Fields Reviewed as a percentage
- **Key Fields Not Found**—provides a file to download containing the details of the key fields not found

**Downloading Key Fields Not Found**

Next to each edit will be a cloud icon for you to click on. Upon clicking on it, a file appears at the bottom of your screen and displays the progress of the download. The time it takes to complete the download will vary depending on the size of the file. You can continue using the tool while the download takes place.

Once you open the file, you can view which records were impacted by each edit. The Data Type, Verification Parameters, Policy Effective Date Range, and each record’s key fields will be included in the file to identify all of the claims in which NCCI could not find a corresponding match. You should research these and determine whether any corrections to your source system are necessary.

The purpose of this screen is to bring to your attention how well the specific key fields from the Indemnity Data Call match the same key fields on the Policy and Unit Statistical data submitted by/for your company.