



Utah Labor Commission

Industrial Accidents Division

POC 3.0 EDI Implementation Guide  
Version 1.1

For the reporting of Workers' Compensation Proof of Coverage

## **PREFACE**

The Utah Labor Commission Industrial Accidents Division (IAD) was a pioneering State for EDI filing of Proof of Coverage (POC) in October 1998. We anticipate the successful path of POC to continue as we migrate from POC 2.1 to POC 3.0 **effective November 6, 2013**.

In as much as the IAD is charged with administering the Utah Workers' Compensation Act and Workers' Compensation Rules applicable thereto, the IAD must maintain information required to be filed with the IAD by law. Under the law, carriers are required to file reports of coverage in such form and detail as the division may require. The law identifies information that must be reported and the timelines that must be adhered to. POC 3.0 provides for the electronic transfer of comprehensive policy transaction information. There are a few changes in POC 3.0 that IAD is incorporating. We sincerely appreciate our trading partners' investment and cooperation in EDI reporting, and pledge the IAD will collect only data from our trading partners' that is essential to fulfilling our mission.

This POC Implementation Guide is designed to assist trading partners with the transition from POC 2.1 to POC 3.0. It serves as an information resource for trading partners and should be used in conjunction with the IAIABC EDI POC 3.0 Implementation Guide dated July 1, 2012. The International Association of Industrial Accident Boards & Commissions (IAIABC) is a not-for-profit trade association representing government agencies and insurance industry charged with the administration of workers' compensation. IAD adopted its standard for accepting EDI transactions.

The following sections provide the necessary information for understanding how to conduct EDI business with the IAD.

Thank you for doing business in Utah.

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## Section One: POC EDI History

### EDI Concept

Electronic Data Interchange or EDI is defined as a computer-to-computer exchange of data in a standardized format. EDI enables a commonly understood and standardized format of the relevant data to be transmitted. Transactions are structured for highly automated processing. Each trading partner must agree to use the standardized format and set of rules in order to participate in EDI.

EDI is widely used in many industries to transmit traditional documents, such as invoices and purchase orders, between companies. EDI serves as the backbone for much of the world's electronic commerce. EDI is widely used for workers' compensation reporting. Standardized transaction sets have been developed so that hundreds of different documents now can be electronically exchanged. The result is a highly efficient means of conducting business.

### Advantages of EDI

For over a decade IAD and its trading partners have benefited from POC EDI by:

- Improved reporting performance
  - ❖ Electronic submission is a much more efficient way to transmit the legally required information related to workers' compensation coverage. Typically, the electronically submitted EDI data is received, processed and acknowledged within hours of its submission, rather than the several days it took through manual processes such as communicating via the postal system, manual form review, data entry and submission. Because policy information is crucial to providing workers' compensation benefits, the timely submission of policy information is of primary importance to the IAD, insured employers and claim administrators.
- Time savings
  - ❖ EDI provides an efficient means of reporting the correct workers' compensation policy information to the IAD as quickly as possible. It allows for one time data entry, saving time by eliminating the processing of paper documents that would otherwise be required for both the trading partner and IAD.
- Cost savings
  - ❖ Although there were initial costs involved with designing, developing and implementing the POC EDI system, these costs have been recouped and the system has paid for itself many times over by the efficiencies associated with EDI. Sending documents electronically completely eliminated the costs of mailing and handling paper documents. In addition, fewer people are required to monitor and administer the EDI system than were needed to process paper documents. Thus, personnel at both ends of the electronic transaction who would otherwise be involved in handling paper were assigned to other tasks to fulfill the IAD mission to serve Utah.
- Improved accuracy
  - ❖ EDI eliminated redundant and error-prone entry of the same data into multiple computer systems. Further, by immediately verifying and validating the sender's transaction, the electronic acknowledgement process improves efficiency and accuracy, reducing the time it takes for the trading partner to correct invalid or inaccurate information.

- Enhanced flexibility
  - ❖ Electronic data can be sent anytime, day or night, ensuring the efficient and timely delivery of accurate information. EDI transmissions can be scheduled during non-peak periods when demand for computing resources is lower.

### **POC EDI Reporting Standards**

The IAIABC EDI Development POC Subcommittee was formed in September 1993. Participants met under the auspices of the International Association of Industrial Accidents Boards and Commission (IAIABC) to satisfy antitrust requirements.

In 1994, representatives from various independent boards and commissions began participating in the POC development. As a result, the Workers' Compensation Insurance Organizations (WCIO) agreed to add POC data elements to WCPOLS. By including POC elements in WCPOLS carriers/insurers have the ability to use WCPOLS or the EDI POC record layout as a means to provide POC to the appropriate data collectors.

The discussions of this group resulted in the creation of standards that include a data element dictionary, reporting event table, element requirements and edit matrices that could be used by any state and insurer with consideration for the jurisdictional required coverage report filings. These copyrighted standards are available from the IAIABC. The IAIABC can be reached at (608) 663-6355 or visit their website at <http://www.iaiaabc.org> to acquire a copy of the standards, which may be downloaded from their site.

The IAIABC EDI Implementation Guide for POC, Release 3.0, published July 1, 2012, can be ordered from the IAIABC's web site at <http://www.iaiaabc.org/i4a/pages/index.cfm?pageid=4032> . The IAIABC charges for the R3 Guide if your company is not an IAIABC EDI member. The IAIABC's website also contains other important code tables required for Release 3 filings. It is recommended that this guide be reviewed by business management and IT staff. If you choose to print the Guide, please be advised that it is set up to print double-sided and is 823 pages long.

### **Utah's EDI Partnership**

The Utah Labor Commission's Industrial Accidents Division (IAD) accepts POC submission from the National Council on Compensation Insurance, Inc (NCCI) and the International Organization for Standards (ISO).

### **EDI Implementation Date**

POC EDI has existed in Utah since 1999. The migration to EDI POC 3.0 will be effective November 6, 2013.

## Utah Proof of Coverage reporting requirements

As per §34A-2-205 notification of workers' compensation insurance coverage reporting requirements are summarized as follows:

- 1) Notification of coverage placement within 30 days after inception date of the policy
- 2) The policy is considered in effect from inception until canceled. Notification of cancellation within 10 days after cancellation of the policy.
  - a. Failure to notify IAD of the cancellation will result in continued liability of the carrier until the date that the cancellation notice is received by IAD.
- 3) Notification of reinstatement within 30 days.
- 4) Notification of changing or the addition of a name or address of an insured within 30 days.
- 5) Notification of the merger of an insured with another entity within 30 days.

### Penalties & Fines

§34A-2-205(3)(a) in summary states that IAD may assess up to \$150 for failure to comply with the reporting requirements.

**Please note:** Bulletin 8-2010 in summary provides the following penalty details:

- 1) Data errors that are **not** corrected within 5 business days of the Transaction Rejection are subject to a penalty of \$150 per policy.
- 2) Timeliness penalties apply if untimely filings exceed 1% on a monthly basis. Timeliness penalties apply in a graduated scale:
  - a. 99% or higher in timely reporting – No penalty.
  - b. 1-15 days late per policy - \$50.
  - c. 16-30 days late per policy - \$100.
  - d. 30 days or more per policy - \$150.
- 3) Directions on how to appeal a penalty are included in the monthly reports provided to each insurer detailing the penalty/penalties.

IAD Bulletins can be found at:

<http://laborcommission.utah.gov/divisions/IndustrialAccidents/bulletins.html>

## Section Two: EDI Insurer Considerations

POC EDI is a method to transmit workers' compensation policy data to meet jurisdictional reporting requirements. Ideally, EDI converts a manual process into an automated or software-assisted process, to allow computer to computer communication. The initial implementation tasks are to assess the jurisdictions' requirements, compare those requirements to your company's manual and automated policy handling processes to determine the best business solution for your company.

The technical side of EDI has three major components:

- 1) The computer based policy processing system where coverage data is stored
- 2) An EDI management system or a component that contains jurisdiction requirements:
  - a. The required report types;
  - b. The required time line for each report;
  - c. The Jurisdictions' data requirements;
  - d. The required edits;
  - e. The Jurisdictions' response to each report
- 3) A system that manages the exchange of reports between two or more parties (trading partners, data collectors, jurisdictions etc)

Due to the differences between Insurer policy handling processes and computer systems, each Insurer may have varying degrees of capability. Each must assess the best way to modify (if needed) their policy handling process in order to meet the three technical EDI components.

Although the below list is not all inclusive, it will help guide you to key items to consider when evaluating how your firm can comply with EDI reporting requirements:

- 1) Completely read this implementation guide to ensure your firms' understanding of Utah's EDI POC requirements. Identify the IAD reporting requirements for each data element using the provided Edit Matrix, Event Table and Element Requirements Table. These are available on our website: [http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy\\_reporting.html](http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy_reporting.html)
- 2) Go to <http://www.iaiaabc.org/i4a/pages/index.cfm?pageid=4032> to obtain a copy of IAIABC's EDI POC Release 3.0 Implementation Guide.
- 3) Review the definition of each data element. Note any difference between these definitions and those of your organization.
- 4) Note any elements not currently captured by your database in case they need to be added to comply with IAD requirements.
- 5) Keep apprised of IAD requirement changes by subscribing to notification services: <http://laborcommission.utah.gov/about/subscribe.html> select Press Releases & News for updates and requirement changes. Attend training sessions when possible.
- 6) Ensure internal communication lines between Policy issuance and Claim reporting departments are open for efficient resolution of reporting issues.

## Section Three: Reporting Processes and Options

Utah's EDI reporting process includes:

- 1) Capturing State required reporting data
- 2) Editing for data content and quality
- 3) Translating data into or from IAIABC, ASCII or WCPOLS formats
- 4) Managing communications (report transmissions – sending & receiving)
- 5) Managing acknowledgments, replacement reports and corrections

### Capturing required reporting data

IAD believes we and our trading partners have worked through the stumbling blocks concerning the capture and electronic storage of data required by IAD's EDI POC as processes have evolved since 1999. Although using national standard data elements can simplify state reporting, there can be a gap between IAD's data requirements and the data available through the Insurers policy handling computer system. If the missing data is identified as "Mandatory" or "Conditional" by IAD, an immediate solution is in order. Missing data solutions vary and are dependent on several factors. Solutions fall into two categories:

- 1) Modify your policy handling process and computer system to capture the missing data.
- 2) Supplement your current policy handling computer system with an additional data entry and storage capacity for the missing data.

### Editing data for content and quality

This requires adherence to the EDI data tables as posted on our website:

[http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy\\_reporting.html](http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy_reporting.html)

### Manage communications / transmissions

Success of EDI reporting is dependent on the technical ability to pass data between organizations. Data transfer interruptions may occur and data could be lost. Due to this critical need, IAD has limited the number of approved data collectors that trading partners can select from to act as their intermediaries in this process to the National Council on Compensation Insurance, Inc (NCCI) and the International Organization for Standards (ISO).

**Note:** IAD neither endorses nor recommends the products or services of any particular data collector. IAD's authorization of data collectors is based solely on their specific POC EDI experience. Our goal is to provide you, our trading partners, with competent firms to select from. IAD suggests careful review of data collector claims as well as to contact current and past customers prior to contracting a data collectors' service.

### Manage acknowledgments, replacement reports and corrections

EDI is the reciprocal transfer of data between organizations. In Utah reporting, the IAD responds to each submitted report with an acknowledgment that the report was Accepted or Rejected. The contracted intermediary data collector will communicate these acknowledgments to the Submitter. It is the responsibility of the Submitter to replace rejected reports with acceptable reports. It is imperative that Rejected reports are corrected and resubmitted as soon as possible - **a rejected report is not considered filed until it has been corrected, retransmitted and accepted.** Insurer fines may apply if correct reports are not reported within the 5 business days allowed for Insurers to resubmit! Whereas some reports require the prior acceptance of another report, failure to replace rejected reports can cause other reports to be rejected and therefore to be late.



## Section Four: EDI Trading Partner Process

Please note, your business model may require you to take supplemental steps between those suggested below. Or, as an experienced EDI partner, trading with other jurisdictions, you may find your company has already addressed some of the below steps.

### **Contact the IAIABC / Obtain the IAIABC EDI POC Release 3.0 Implementation Guide**

A clear understanding of the IAIABC definitions and standards is required to be a successful EDI Trading Partner in Utah. The IAIABC EDI POC Release 3.0 Implementation Guide augments this Utah Labor Commission Industrial Accidents POC 3.0 EDI Implementation Guide. Visit the IAIABC web site: <http://www.iaiaabc.org> or call them at: (608) 633-6355 to obtain a copy of the current EDI POC Release 3.0 Implementation Guide and other publications that may assist in implementing EDI requirements. For EDI POC Release 3.0 documents, go to: <http://www.iaiaabc.org/i4a/pages/index.cfm?pageid=4032>

This Utah Labor Commission Industrial Accidents Division POC EDI Implementation Guide provides Utah specific information that is used in conjunction with the IAIABC EDI POC Release 3.0 Implementation Guide.

### **Designate an EDI Point of Contact**

Your company must designate an EDI point of contact. Your company is responsible to update IAD if/when the contact changes. This contact person must be able to speak on behalf of your organization and be knowledgeable about:

1. Your source data;
2. How to retrieve the source data;
3. Your business process and support systems

We recommend that your EDI Point of Contact attend all IAIABC and IAD EDI information meetings and applicable training.

### **Review Utah EDI data requirements and policy events that require reporting**

Refer to the Technical Requirements section of this guide. This detailed section defines the reports required by Utah and the business events or situations that trigger specific EDI transactions to be filed with IAD. **Determine how Utah EDI Requirements fit with your workers' compensation business processes**

## Section Five: EDI Testing Requirements & Plan

### EDI Implementation Assistance

This implementation guide, when used in conjunction with the IAIABC EDI POC Release 3.0 Implementation Guide provides the business and technical information for an insurance carrier to meet the IAD EDI submission requirements and includes the data and code requirements for EDI submissions to the IAD.

EDI competency and business data quality content is of utmost importance to IAD. As such, IAD reserves the right to require trading partners to follow the IAD test plan in the IAD EDI testing environment prior to allowing access to **production** EDI reporting should an existing trading partners' data compliance fall below 5% accuracy or a new trading partner enter Utah's jurisdiction. This testing is a joint effort of the trading partner & their selected Data Collector. Approval must be secured from the IAD at the end of the testing period and prior to submission of any **production** EDI transaction.

The objective of testing is to confirm that all parties are adhering to the requirements documented in the Trading Partner Agreement, that the EDI interface is working properly and the data accuracy meets the minimum standards. Testing will continue until the trading partner's submissions meet the standard set forth in the Trading Partner Agreement within a designated time frame. If the testing has not reached the expected goal by the end of the testing period, the trading partner will be scheduled again to restart the testing process. Success criteria for testing will include the following:

- Transmission protocols (FTP) are functional for submissions and acknowledgements
- Sender/Receiver identifiers are correct as per the Trading Partner Profiles
- Batch submissions are organized properly
- POC files are formatted properly and contain accurate data

Visit our website: [http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy\\_reporting.html](http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy_reporting.html) to follow the below steps.

#### 5.1. Insurer Test Preparation

Reference Test Plan in 5.4 and follow the below steps for testing to obtain Production Readiness. Two weeks prior to the first day of the scheduled test period, the trading partner must complete and submit the Trading Partner Agreement, Trading Partner Profile, and Transmission Profile (Sender's Specification) to IAD. IAD's POC EDI Coordinator will communicate next steps for submitting data and coordinate all testing activities with the trading partner and its selected Data Collector.

#### 5.2. Create a Test File

Use the Test Plan provided in 5.4. The sender may user either "real" or "fictitious" data.

Note: If the sender is using "real" data it will not go to the production data base.

#### 5.3. Submit the Test File

The test file should be sent in accordance with the designated format and EDI transmission requirements via the selected Data Collector.

## 5.4. INSURER TEST PLAN

### Purpose

The purposes of testing are to 1) ensure that the Sender's transmissions meet technical and business requirements; and 2) to develop a working relationship between the business contacts for the Trading Partner (sender/submitter) and the Industrial Accidents Division (receiver).

The following are checked during testing:

- ✓ The transmission mode for both transaction and acknowledgment files is functional and acceptable for both Receiver and Sender/Submitter;
- ✓ The Sender/Submitter ID is valid and recognized by the Receiver.
- ✓ The Receiver ID is valid and recognized by the Sender/Submitter;
- ✓ The file format matches the file format specified on the Transmission Profile of the Sender/Submitter;
- ✓ The batch format of files sent by the Sender/Submitter is correct with each batch containing an appropriate header record, one or more records, and a trailer record;
- ✓ The number of records sent matches the number indicated in the trailer; and
- ✓ The quality of the data

### Test Requirements

- No errors in the header and trailer records occur.
- Sender/Submitter can receive electronic acknowledgements.
- Sender/Submitter transmits **two** batches with at least five production quality reports using any combination of Triplicate Codes:
  - 00 10 01 New Policy -
  - 00 05 01 POC Notice -
  - 00 20 01 Renewal -
- If Sender/Submitter receives a TR (transaction rejected) acknowledgement in either test batch, will resubmit the rejected transaction/s until all are accepted with TA acknowledgment.
- Subsequent to a successful batch, Sender/Submitter will transmit at least one of each of the following MTC transactions:
  - 00 10 86 New Policy -
  - 00 50 01 Rewrite / Reissue -
  - 00 31 54 Add New Employer
  - 04/05 32 83 Change Policy Number
  - 04/05 32 77 Change Employer FEIN
  - 00 41 64 Policy Cancelled –
  - 00 70 01 Carrier Reinstates -

### Move from Testing to Production

The length of testing depends on the Sender/Submitter's transaction rejected rate and data quality. Receiver may waive testing requirements, if conditions warrant. Once the Sender/Submitter has met the testing requirements, as stated above, the Receiver will notify the Sender/Submitter and its authorized Data Collector in writing that production data can be transmitted.

### **5.5. Production Ready**

When IAD provides the written authorization for the trading partner to begin sending reports electronically, it is important to note that trading partners will be required to maintain the minimum level of data accuracy, defined as **>5% error ratio** after they are certified production ready. Failure to maintain the minimum accuracy level will result in the trading partner being placed back in “Test” status. After the Production Ready Status has been achieved, IAD will accept all POC transactions using the approved means of submission.

## 5.6 DATA COLLECTOR ROLE IN TESTING

### 5.6.1. First Level Test (Batch and Transaction)

The purpose of the First Level Test is to ensure that the trading partner and the IAD are “communicating properly” with each other and in accordance with the Trading Partner Agreement. The test focuses primarily on the transmission of EDI files between both parties as well as the general structure of the files to ensure they can be “read” upon receipt. Testing at the first level encompasses batch and transaction level validation.

#### Batch Level Validation:

- Header Record – Verifies that all mandatory data elements are present and that the Sender ID is appropriate. Further, this test validates the transmission date, time, and interchange version and rejects duplicate batches.
- Batch Structure – The structure of the batch will be interrogated to properly identify the types of transactions contained within the batch (Triplicate and Trailer).
- Trailer Record – Verifies that all mandatory data elements are present and contain valid formats and values.

#### Transaction Level Validation:

- Record Relationship – Validates the relationships between the PC1 and PC2.
- Match Data/Duplicate Transactions – Tests to see if a Triplicate Code 00 10 01 transaction results in a new policy or duplicate of an existing policy. Transactions failing these tests will be rejected.

### 5.6.2. Second Level Test (Regulatory)

Once the transmission process has been successfully completed, reports will be tested for data accuracy. For the purpose of this document, data accuracy is defined as EDI transmissions that are complete (all required data is present) and accurate (the data is free from errors and is appropriate for the field in which it resides).

#### Regulatory Level Testing:

- Format Editing - IAD jurisdiction specific editing will be performed at this level. Mandatory/If Available data elements as indicated in the Element Requirement Table will be interrogated for validity. Edit failure at this level will result in a TR (Transaction Rejected with Errors) acknowledgement code depending upon the specified requirement code.
- Data Element Relationship - Some data values may be dependent on the value of another data element. These requirements are presented on the Element Requirement Table and Edit Matrix. Failure of necessary relationship edits may result in errors.

## 5.7. Acknowledgement Processing

Once all the transactions within a batch have been tested according to IAD jurisdiction requirements an Acknowledgement file will be sent to the Submitter in the format specified. It will be the trading partner’s responsibility to monitor the Acknowledgements and take any corrective action.

## Section Six: EDI Technical Requirements

### 6. EDI Technical Requirements

All files submitted to the IAD must be flat fixed length text files in the IAIABC format with an extension of .pcn. The following section details the possible EDI reports, Event Table, Element Requirements Table and Edit Matrices for EDI submissions.

#### 6.1 EDI Reports

The IAIABC EDI standards associate state EDI reporting requirements to policy processing events. Each report or transaction is named for the event it represents: Notice, New Policy, Cancellation, Reinstatement etc. Report name and Triplicate code may be used interchangeably throughout this guide. The IAD will initially provide for policy events of the available Trip codes as shown in IAD's POC 3.0\_EventTable.

#### 6.2 Report Event Table

The POC Event Table is designed to provide information necessary for the Sender (Insurer) to understand the Receiver's (IAD) EDI reporting requirements. It associates the required EDI reports to policy events and defines the timing and circumstances for Insurers to report those events. The policy reporting requirements may include legislative mandates affecting different reporting conditions and may be based on various criteria. The IAD uses and controls the table to convey the level of EDI reporting that it currently accepts. The event table contains the following data elements:

- Report Type
- Triplicates (Code and Description)
- Event Rule (Criteria, From, Thru)
- Report Trigger (Criteria, Trigger Value)
- When is the Report Due? (Value, Due Type, From)
- Receiver

A copy of the POC Event Table may be found on the IAD website:

[http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy\\_reporting.html](http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy_reporting.html)

#### 6.3 Element Requirement Table

The list of potential data elements that the IAD requires is listed in the Element Requirement Table. This table lets the Insurer know the IAD data element requirements. Each table lists the data element requirements for each report/record based on the point in time that the data was required by statute, rule, or current version of EDI. If a data element has not always been required to be reported, but is required now, it will be listed as Mandatory Conditional (MC) on the table with additional information listed in a section at the end of the table (business conditions) identifying the start date that the data element is mandatory. Prior to that date, the data element is considered Not Applicable (NA).

The event tables contain the following data elements:

- Record
- DN#
- Data Element Name
- Triplicate Code

A copy of the POC Element Requirements Table can be downloaded from the IAD website:

[http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy\\_reporting.html](http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy_reporting.html)

**Special Circumstances to take note of:**

1. Effective POC 3.0 migration, the Employer UI number is a Mandatory field. IAD has developed a web tool that allows authorized Insurers to either a) download the Utah UI for all insureds/employers for the past 24 months or b) single look up of new insured/employers UI. To request access to this tool, send an email to: [POCEDI@utah.gov](mailto:POCEDI@utah.gov) , use subject line: UI Look Up Tool Access Request, within the email provide the Name, email address and phone number of the person/s needing access.
2. Ensure the policy information reported for Proof of Coverage matches to the policy information reported on claims – Utah validates this information and will reject for no match. If a claim transaction is rejected for no match, IAD will direct the claim administrator to contact the policy underwriter to ensure correct data is submitted.

**6.4 Edit Matrices**

The Edit Matrix is used to identify which data elements have edits applied to them as well as associated standard error codes. The Edit Matrix consists of five components:

- Data Element Name
- DN#
- Error Code
- Error Code Description
- Triplicate Codes

The IAD provides Edit Matrices for each of the following reports:

- PC1
- PC2

A copy of the Edit Matrices can be downloaded from the IAD website:

[http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy\\_reporting.html](http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy_reporting.html)

**6.5 FTP Requirements**

EDI Trading Partners and/or their selected EDI Data Collector will be required to submit workers' compensation policy reports to the IAD using the approved method and are expected to have a File Transfer Protocol program (or service provider) capable of connecting to the IAD Secure FTP server using FTP/Implicit SSL.

## Section Seven: Important Terminology and Acronyms

The following applies to this POC EDI Implementation Guide and the EDI tables posted on our website.

### **Acknowledgment Record (aka: Response)**

An EDI file sent from the Jurisdiction to the trading partner's Data Collector in response to an EDI report. It contains key data elements to identify the transaction and any technical and/or business issues discovered. This is known as an AKP.

### **Alphanumeric (A/N)**

Data elements that are defined as A/N consist of a sequence of any characters from common character code schemes of EBDIC, ASCII and CCITT International Alphabet 5. The significant characters are always left justified in the field with any remaining space in the field padded with spaces. Spaces indicate absence of data.

### **Batch**

A set of records containing one IAIABC Header record, one or more POC transactions, and one Trailer record. Any error in the Header record or the Trailer record will cause the rejection of the entire Batch without further transaction level edits being applied.

### **Business Rules**

The business requirements that dictate when a report is created, edited and when and how it is transmitted.

### **Data Collector**

For the purposes of this IG, a Data Collector is an EDI Service Provider authorized by IAD to be the Sender/Submitter on behalf of the trading partner (Insurer). Specific to Utah they are the National Council on Compensation Insurance, Inc (NCCI) and the International Organization for Standards (ISO). See also: Sender / Submitter)

### **Data Element**

A single piece of defined information (e.g. Policy Number Identifier) contained within a transaction (i.e. Renewal – Employer Locations within Jurisdiction). Each Data Element is assigned a reference number (DN = Data Number) and includes a definition and format (length & data type) and if format is a code will list acceptable values or reference the code source (for example Employer FEIN is 9 AN).

### **EDI**

Electronic Data Interchange. It is computer-to-computer exchange of data or information in a standardized format. POC EDI is the electronic transmission of workers' compensation policy information from an authorized Submitter to a States' Workers' Compensation Regulatory Agency.

### **Edit Matrix**

Identifies the edits to be applied to each data element to ensure data quality expectations are met. Senders will apply the edits before submitting a transaction and receivers will confirm them during processing.



**Edited Data**

A term used to describe the information on a transaction after it has been processed through the IAD system edits and found to contain valid data.

**Electronic Format**

IAD selected the IAIABC Release 3 flat file format for Policy reporting. This format was chosen to standardize, simplify and reduce the cost of data exchange.

**Element Requirement Table**

A tool to communicate data elements required by the Receiver, specifying which elements are mandatory or ancillary. This allows for data element requirements to be defined for each record layout and down to the level of each Triplicate Code. Further, it provides for element requirements to differ based on Report Type criteria established in the Event Table.

**Employer Record (PC2)**

Provides information on the employers covered under a policy. All Employer Records (PC2) are associated with an Insured Record (PC1) that together constitutes a transaction. Depending on the type of transaction, an Employer Record may or may not be required to accompany an Insured Record (PC1).

**Environment**

The boundaries and conditions under which an application runs or in which files are manipulated or processed.

**Event**

A specific business event; such as the occurrence of POC Notice (fka binder), New Policy, Cancellation or Reinstatement etc. Events, when entered into a computer system, may be defined as a trigger for a Jurisdiction required report.

**Event Table**

A table designed to provide information integral for a Sender to understand the Receiver's EDI reporting requirements. It relates EDI information to events and under what circumstances they are initiated.

**FEIN**

Federal Employers Identification Number, this is the Corporation/Business US Federal Tax ID, or can be an Individual's US Social Security number.

**Header Record**

The record that precedes each batch of EDI transactions. The header record and corresponding trailer record surround each batch of transactions and uniquely identifies the Sender as well as the date/time a batch was created. See also: Trailer Record.

**IAD**

Industrial Accidents Division of the Utah Labor Commission. The regulatory agency overseeing Workers' Compensation Act and Workers' Compensation Rules compliance.

**IAIABC**

International Association of Industrial Accident Boards and Commissions. A not-for-profit trade association whose members are industrial accident, workers' compensation or other governmental bodies as well as associate members comprised of other industry-related organizations and individuals. The IAIABC has authored EDI standards that cover the transmission of Claims, Proof of Coverage, and Medical Bill Payment information through electronic reporting.

**IG**

Implementation Guide.

**Insured Record (PC1)**

Identifies insured and policy information. An Insured Record is **always** required for POC transactions. The Insured Record contains the three key data elements that comprise the Triplicate Code: Transaction Set Purpose Code (DN0300), Transaction Set Type Code (DN0334) and Transaction Reason Code (DN0303).

**Processing File**

The file compressed within the transaction file and contains one batch per file.

**Production**

A designation that the Submitter is sending transactions in a "live" environment after satisfactory completion of all EDI implementation testing as determined by IAD.

**Raw Data**

The transaction and its contents as received from a Submitter by IAD and before the data is subjected to IAD's POC EDI systems' automated edits.

**Requester / Receiver**

IAD is the Receiver of transactions from the Submitter. The Submitter is the Receiver of transaction acknowledgements from IAD.

**Re-Acknowledgment Record (aka Response)**

An EDI file sent from the Jurisdiction to the trading partner's Data Collector to re-acknowledge a batch that was incorrectly acknowledged due to error/s found in jurisdiction processing. It contains key data elements to identify the original transaction, transaction status and any technical and/or business errors found. Within the EDI transactions these are identified as ARP.

**Self Insured Employer**

An employer authorized by the IAD to self-insure its workers' compensation risk in accordance with applicable law, rules and regulations.

**Sender / Submitter**

An entity that submits POC information in the IAIABC POC EDI Release 3 format on behalf of trading partners and receives the corresponding EDI acknowledgments from IAD. Specific to Utah, the Data Collectors fulfill this role. Also see: Data Collector.

**SFTP**

Secure File Transfer Protocol. A communications protocol governing the transfer of files from one computer to another over a network. Access to SFTPs is granted by the Receiver.

**Testing Period**

The initial environment in which the sender/submitter transmits a series of transactions that is analyzed for both technical and business content within a specified time period.

**Test Plan**

A plan developed by IAD outlining the events, the time frame, and the responsibilities of each party for testing and evaluating data sent in the test environment.

**Trading Partners**

Two entities exchanging data electronically. For the purpose of this IG, the two entities are the data requester/receiver (IAD) and the data sender/submitter (i.e. Data Collectors on behalf of Insurers)

**Trailer Record**

A record that designates the end of a batch of transactions and provides a count of records/transactions contained within a batch. Also see Header Record.

**Transaction**

Submission of a POC report that contains data elements as defined in the IAIABC record layouts, which are found in the IAIABC EDI POC 3.0 Implementation Guide and for records specific to Utah, are found in the IAD Policy Reporting EDI tables posted on IAD's EDI website:

[http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy\\_reporting.html](http://laborcommission.utah.gov/divisions/IndustrialAccidents/policy_reporting.html)

**Transaction Structure**

Consist of one Insured Record (PC1) and may or may not require one or more Employer Records (PC2) to accompany the PC1. The transaction is defined by the Triplicate Code submitted. For example: a New Policy – Employer Locations within Jurisdiction using Triplicate Code 00 10 01. Certain transactions require Paired Transactions submission.

**Links to POC EDI related information**

Utah EDI bulletin(s):

<http://www.laborcommission.utah.gov/IndustrialAccidents/Bulletins/index.html>

Industrial Accidents Division (IAD) web page:

<http://www.laborcommission.utah.gov/IndustrialAccidents/index.html>

Industrial Accidents Division Carrier Compliance email: [POCEDI@utah.gov](mailto:POCEDI@utah.gov)

International Association of Industrial Accident Boards and Commissions (IAIABC): [www.iaabc.org](http://www.iaabc.org)

### **DISCLAIMER - More Information**

The **Industrial Accidents Division** section of the Labor Commission web site is targeted to employees, employers, insurers and third party administrators and is intended to be a resource throughout the workers' compensation claim process. It is **NOT** intended to be a substitute for legal representation. Injured workers seeking information about the workers' compensation process should see the [Claims Section](#) found on the Industrial Accidents Division web page to find information targeted specifically to them. Additional information about Utah Workers' Compensation laws, the Division of Industrial Accidents and more may be found on the [Laws and Rules](#) page (accessed via the left side bar links).