

# eClaims Training

## Level 201: Business

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Revised 9/14/2018



# Welcome



## Introductions

- Tim Purcell, WCB eGov Director
- Mary Beth Goodsell, eClaims Program Manager
- Laurie Hart, Albany District Manager, eClaims Working Team
- Scott Winne, Lead Technical Designer

## Housekeeping

- Training Slides
  - Level 201 Business
  - Level 301 Technical
  
- Reference Materials
  - Today's process vs. Tomorrow's EDI process
  - Sequencing Flowchart
  - Quick Code Reference List

# 201 (Business) Agenda



## Begin at 9:00 AM

- **Overview of eClaims**
  - eClaims Benefits
  - IAIABC
- **Resources**
  - IAIABC website
  - WCB eClaims website
- **Trading Partners**
- **Claims EDI**
  - Basic Lingo; MTC, FROI, SROI
  - New form template
  - Event Table
- **Walk thru-FROI & SROI**
  - NYS Filing Instructions
  - NYS Scenarios
- **NYS Sequencing Flowchart**

## Break (10:30 - 10:45 AM)

- **Legacy Claims**
- **Element Requirement Table**
- **Event Benefits and Sweeps**
- **Adjustments, Credits and Redistributions**

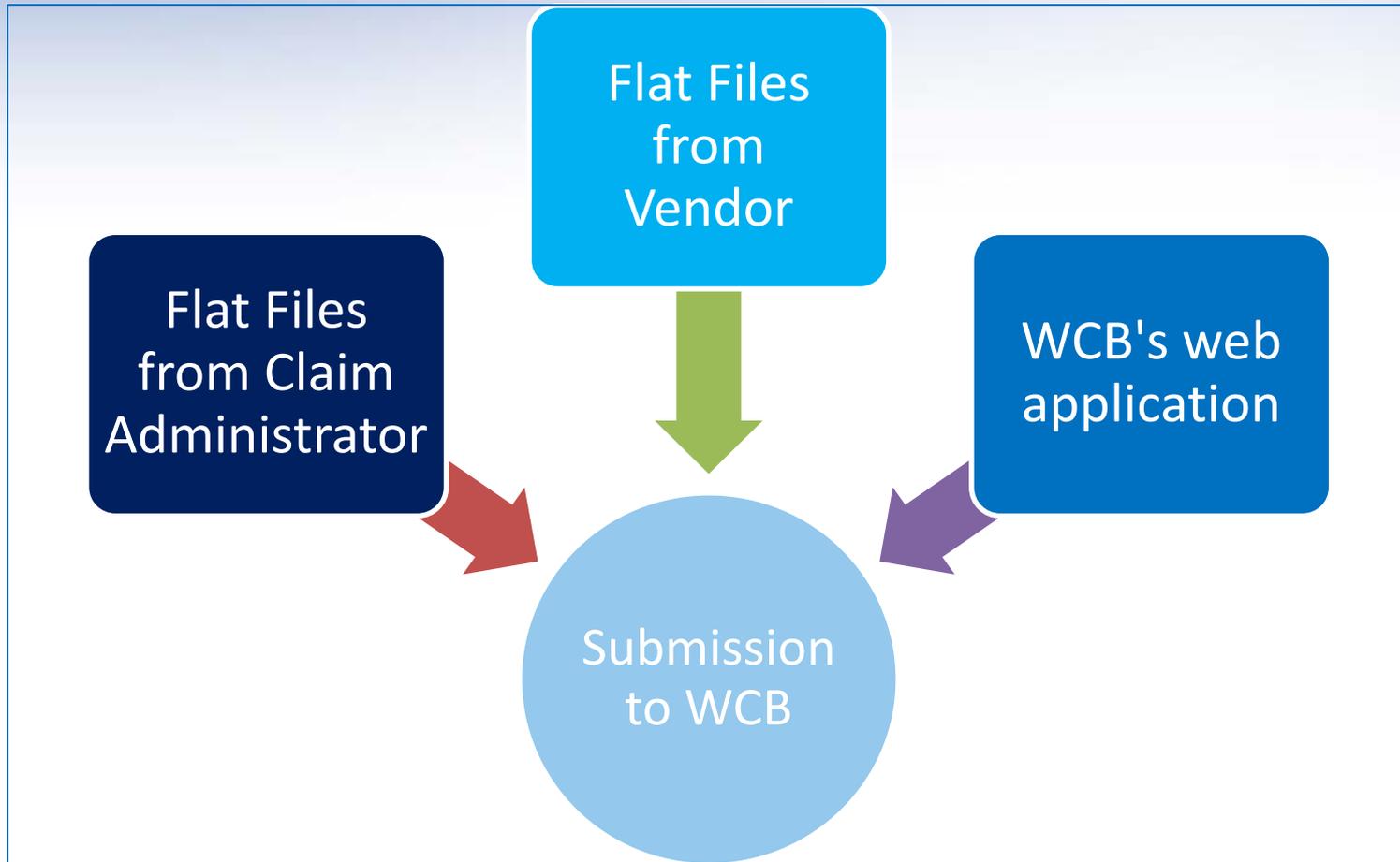
## Lunch (Noon - 1:00 PM)

- **NYS DN Reporting Specifics**
- **Edit Matrix**
- **Acknowledgment**
- **Web Data Entry Application**
- **NYS Implementation Timeline**
- **Next Steps**
- **Questions**

## Break (2:00 - 2:15 PM)

- **301 Technical Training**

# Submission Options



# eClaims Benefits



## Process

- Establishes single, consistent format
- Incorporates claims information quickly
- Reduces costs
- Streamlines WCB case assembly
- Decreases duplicate filings

## Data Accessibility

- Increases quality and timeliness
- Provides information on performance
- Supplies data for policy decisions

Improves timely delivery of benefits to injured workers

- International Association of Industrial Accidents Boards and Commissions : [www.iaaiabc.org](http://www.iaaiabc.org)
- Non-profit trade association since 1914
- Represents government agencies that administer workers' compensation systems
- Develops standards for workers' compensation processes

- 1990: IAIABC membership adopted IAIABC Committee's proposal to develop standards for communicating data electronically between providers, payers, and state administrators via EDI.
- 1993: Claims Release 1
- 2000: Claims Release 2
- 2005: Claims Release 3

# WCB Website

Go to

[www.wcb.ny.gov](http://www.wcb.ny.gov)

and click on NYS  
eClaims logo

Skip to Content

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Workers' Compensation Board eClaims

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## eClaims Overview

The Board is adopting a national standard for claim administrators to electronically submit employer claims data. The standard is the International Association of Industrial Accident Boards and Commissions' (IAIABC) Claims Electronic Data Interchange (EDI) Release 3.0. This electronic filing of claims data will be implemented in phases, beginning in spring 2013, and will provide timely, accurate, and credible electronic reporting.

More than 30 states currently use or are actively planning to use the IAIABC EDI standard for claim submissions. Most national carriers already utilize the standard in those jurisdictions. The technology is recognized as the national best practice for First Report of Injury/Subsequent Report of Injury (FROI/SROI), and has a proven track record.

The Board is collaborating with claim administrators in the workers' compensation industry to ensure that this transition to electronic filing is as seamless as possible. Electronic claims filing supports the Board's continuing effort to improve services to injured workers of New York and their employers. In fact, based on the experience of other states that have implemented the IAIABC standard, the Board anticipates that its adoption in New York will yield significant benefits.

The Board is supporting transparent and continuous two-way communications with all stakeholders impacted by this transition. As a first step, the Board's Office of Stakeholder Outreach and Education requested that insurance carriers, self-insurers and third party administrators provide their departmental contact information. This contact information enhanced the Board's capacity to directly interact with appropriate individuals from these stakeholders.

For more information on the IAIABC Claims Release 3.0, please visit the EDI Implementation Guide section of the IAIABC website at [www.iaabc.org](http://www.iaabc.org).

Questions can be directed to: [eClaims@wcb.ny.gov](mailto:eClaims@wcb.ny.gov)

## eClaims News

### October 31, 2012

- Subject Number 046-489: Workers' Compensation Board Announces Publication of eClaims Requirement Tables and Implementation Schedule for Mandatory EDI Claims Reporting
- NY Requirement Tables
- eClaims Implementation Guide
- eClaims Implementation Plan *Updated*

### September 28, 2012

- Subject Number 046-494: Workers' Compensation Board Announces eClaims Training Schedule for Mandatory Electronic Claims Filing Process

# Trading Partners



## Who is a Trading Partner?

- An entity that enters into an agreement with WCB to exchange data electronically
- Can be an Insurance Company, TPA, or Self-Insured Employer

Note: All TPAs must be licensed by the WCB Licensing Unit and have an assigned "T" number in order to be able to submit data electronically.

# Trading Partners



Trading Partners must have a clear understanding of:

- When data is to be provided
- What data is expected
- How data will be validated
- What data format is to be used
- What vehicle is to be used to transport the data, i.e. how you plan to submit data to WCB (Flat File or Web Data Entry application)

# Trading Partner Registration



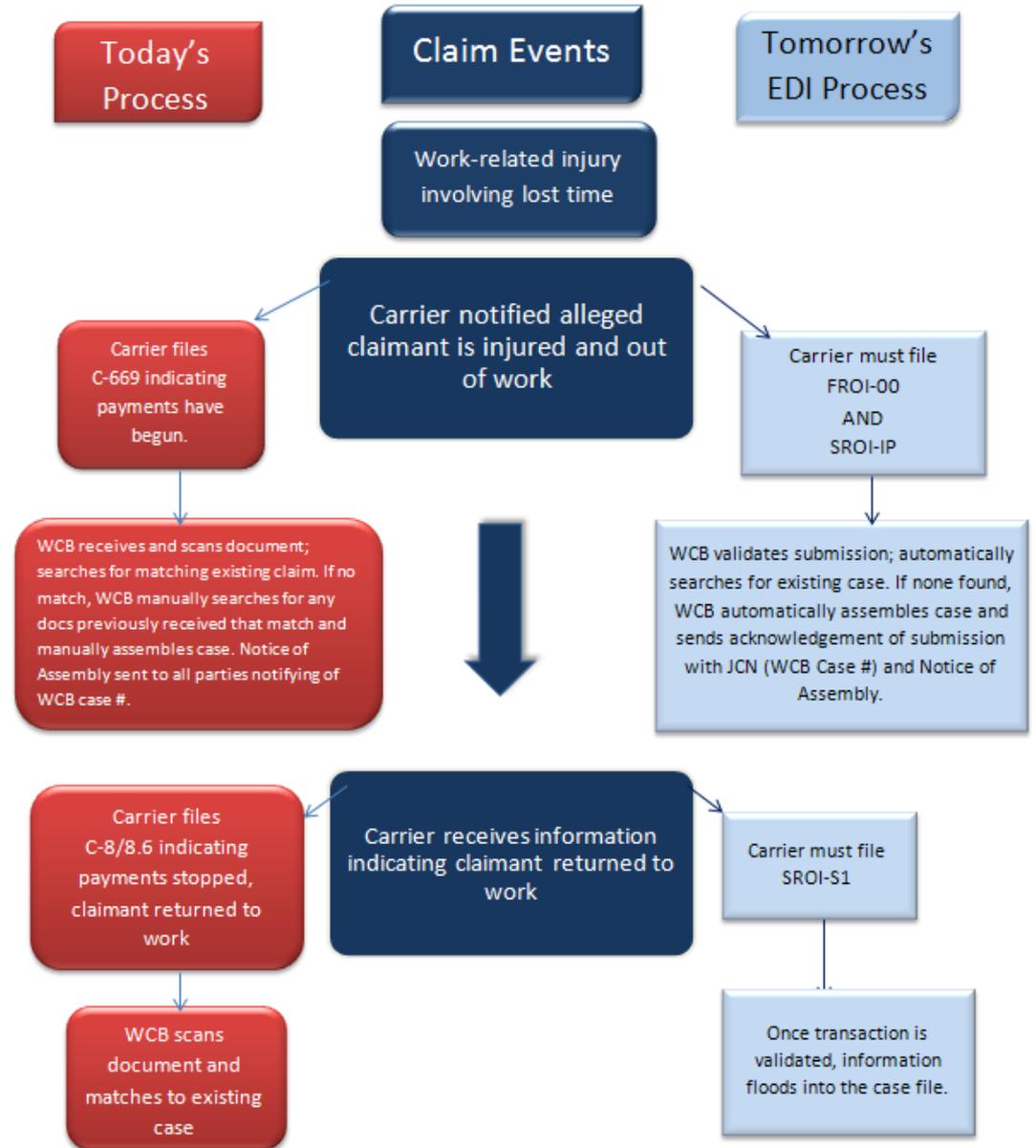
- Trading Partner registration is now available
- Trading Partner agreements must be submitted at least 60 calendar days prior to testing date to allow for approval and entry into the Board's system
- WCB urges all Trading Partners to register as soon as possible

# EDI

Today's way on the left; after EDI implementation on the right.

This is one of the handouts.

## Today's Process vs Tomorrow's EDI Process



# Section 110



Section 110 of Workers' Compensation Law will remain in effect

- Some Claim Administrators already file C-2s as the Employer's designee
- The filing of the FROI by the Claim Administrator will satisfy the Employer's filing requirement
- The filing of the paper First Report of Injury (C-2) will not satisfy the eClaims filing requirement



### EMPLOYER'S REPORT OF WORK-RELATED INJURY/ILLNESS

# C-2

State of New York - Workers' Compensation Board  
If one of your employees has a work-related injury or illness, you must complete and file this form within 10 days of the injury/illness or be subject to a penalty. For additional information on filing this form please refer to Workers' Compensation Law Section 110 at the end of this form. Type or print neatly.

WCB Case Number (if you know it): \_\_\_\_\_ Date of Injury/Illness: 08 / 09 / 2010  
Carrier Case Number (if you know it): YZCC 56600 Date of this Report: 03 / 04 / 2011

#### A. EMPLOYER INFORMATION

1. Employer: ZIRVALE CONSTRUCTION 2. Employer FEIN: \_\_\_\_\_  
3. Mailing Address: 260 MADISON AVE NEW YORK, NY 10017  
4. Location Address (if different): 260 MADISON AVE NEW YORK NY 10017  
5. Phone Number: (\_\_\_\_) \_\_\_\_\_ 6. Nature of Business or Industry Code: \_\_\_\_\_  
7. OSHA Case Number (if known): \_\_\_\_\_ 8. NY UI Employer Reg Number: \_\_\_\_\_

#### B. INSURANCE CARRIER / SELF-INSURED EMPLOYER

If individually self-insured, enter your Board W Number and skip to Section C.

1. Board W Number: W 2. Carrier/Group Name: \_\_\_\_\_  
3. Policy Number: 75POLDUMMY Policy Period: From: 01/01/1991 To: 12/31/2021  
4. If Carrier Unknown, insurance Agent Name: \_\_\_\_\_ 5. Phone Number: (\_\_\_\_) \_\_\_\_\_

#### C. EMPLOYEE'S PERSONAL INFORMATION

1. Name: \_\_\_\_\_ 2. Date of Birth: \_\_\_\_\_  
3. Mailing Address: 1717 EAST 16TH ST APT 49 BROOKLYN NY 11229  
4. Social Security Number: XXX-XX-9999 Contact Phone Number: (\_\_\_\_) \_\_\_\_\_ 5. Gender  Male  Female

#### D. EMPLOYEE'S INJURY OR ILLNESS

1. Time of day employee began work on date of injury: \_\_\_\_\_  AM  PM 2. Time of Injury: \_\_\_\_\_  AM  PM  
3. Has the employee given you notice of injury/illness?  Yes  No  
If yes, notice was given to: \_\_\_\_\_  orally  in writing Date notice provided: \_\_\_\_\_  
If available, attach a copy of the employee's written notice and medical notes, and the employer's incident report.  
4. Have you given the employee a Claimant Information Packet?  Yes  No If yes, give date: \_\_\_\_\_  
5. Where did the injury/illness happen (e.g., 1 Main St., Pottersville, at the front door):  
NEW YORK NY 10017  
6. Was this location where the employee normally worked?  Yes  No If no, why was the employee there? \_\_\_\_\_  
7. Employee's supervisor: \_\_\_\_\_ 8. Did supervisor see injury happen?  Yes  No  Unknown  
9. Did anyone else see the injury happen?  Yes  No  Unknown If yes, give name(s): \_\_\_\_\_  
10. What was the employee doing when he/she was injured or became ill? (e.g., unloading a truck, stocking a shelf, typing annual report)  
UNKNOWN ACTIVITY

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EMPLOYEE'S NAME \_\_\_\_\_ DATE OF INJURY/ILLNESS: 06 / 09 / 2010

**D. EMPLOYEE'S INJURY OR ILLNESS** *continued*

11. How did the injury/illness occur? (e.g., the employee tripped over a pipe and fell on the floor) \_\_\_\_\_

ALLEGING HEAD, RT SHOULDER, BACK, AND NECK.

12. Explain fully the nature of the employee's injury/illness; list body parts affected (e.g., twisted left ankle and cut to forehead): \_\_\_\_\_

NOO SPEC INJURIES. ALL OTHERS NOT CLASSIFIED. UNKNOWN UPPER BACK AREA (THORACIC AREA)

13. Was an object (e.g., forklift, hammer, acid) involved in the injury/illness?  Yes  No If yes, what was it? \_\_\_\_\_

14. Was the injury the result of the use or operation of a licensed motor vehicle?  Yes  No

If yes,  employee's vehicle  employer's vehicle  other vehicle License plate number (if known): \_\_\_\_\_

If employer's vehicle was involved, give name and address of your motor vehicle insurance carrier: \_\_\_\_\_

15. Did the injury/illness result in the employee's death?  Yes  No If yes, what was the date of death? \_\_\_\_/\_\_\_\_/\_\_\_\_

Name and address of the nearest relative: \_\_\_\_\_

**E. MEDICAL TREATMENT**

1. What was the date of the employee's first treatment? \_\_\_\_/\_\_\_\_/\_\_\_\_  None received  Unknown

2. Where did the employee receive first medical treatment for this injury/illness?  On site  Doctor's office  Emergency Room

Clinic/Hospital/Urgent Care  Hospital Stay over 24 hours  Unknown

Who treated the employee and where? \_\_\_\_\_

3. Is the employee still being treated for this injury/illness?  Yes  No  Unknown If yes, name and address of treating doctor(s): \_\_\_\_\_

To your knowledge, did the employee have another work-related injury to the same body part or a similar illness while working for you?

Yes  No If yes, name the doctor(s) who treated the previous injuries/illnesses (if known): \_\_\_\_\_

**F. RETURN TO WORK**

Did the employee stop work because of his/her injury/illness?  Yes  No If yes, on what date? \_\_\_\_/\_\_\_\_/\_\_\_\_

Has the employee returned to work?  Yes  No

If yes, on what date? \_\_\_\_/\_\_\_\_/\_\_\_\_  regular duty  limited duty

3. If the employee has returned to limited duty, what are his/her average gross earnings per week? \_\_\_\_\_

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EMPLOYEE'S NAME \_\_\_\_\_ DATE OF INJURY/ILLNESS: 08 / 08 / 2010

**G. EMPLOYEE'S WORK INFORMATION on the date of the injury or illness**

- 1. Date the employee was hired: \_\_\_\_\_
- 2. What was the employee's job title? \_\_\_\_\_
- 3. What types of activities did the employee normally perform at work? (Attach job description if available.) \_\_\_\_\_

**H. EMPLOYEE'S PAYROLL INFORMATION on the date of the injury or illness**

- 1. Employee's gross pay in an average week was: \$ \_\_\_\_\_
- 2. Did the employee receive lodging or tips in addition to pay?  Yes  No If yes, describe: \_\_\_\_\_
- 3. Employee's job was (check one):  Full Time  Part Time  Seasonal  Volunteer  Other: \_\_\_\_\_
- 4. Which days of the week did the employee usually work?  Mon.  Tues.  Wed.  Thurs.  Fri.  Sat.  Sun.
- 5. Was the employee paid for a full day on the day of the injury/illness?  Yes  No
- 6. Did you continue to pay the employee after the injury/illness (e.g., sick leave, vacation, disability, regular salary)?  Yes  No

**I. ADDITIONAL INFORMATION**

**An employer or carrier, or any employee, agent, or person acting on behalf of an employer or carrier, who KNOWINGLY MAKES A FALSE STATEMENT OR REPRESENTATION as to a material fact in the course of reporting, investigation of, or adjusting a claim for any benefit or payment under this chapter for the purpose of avoiding provision of such payment or benefit SHALL BE GUILTY OF A CRIME AND SUBJECT TO SUBSTANTIAL FINES AND IMPRISONMENT.**

The above information is true to the best of my knowledge and belief.

*If prepared by the employer:*

Signature of Person Preparing Form: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: \_\_\_\_\_ Title: \_\_\_\_\_ Phone Number: (\_\_\_\_) \_\_\_\_\_

*If prepared by a Third Party on Behalf of the Employer:*

Signature of Person Preparing Form: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: \_\_\_\_\_ Phone Number: (877) 468-0222

Company Name and Address: \_\_\_\_\_

Name & Phone Number of Person Who Provided Information Necessary to Prepare This Form: **CLAIM PREPARER**

Reports should be filed by sending directly to the appropriate WCB district office (DO) at the address below with a copy sent to the insurance carrier:

- Albany DO - 100 Broadway-Menands, Albany NY 12241 866-750-5167 (for accidents in the following counties: Albany, Clinton, Columbia, Dutchess, Essex, Franklin, Fulton, Greene, Hamilton, Montgomery, Rensselaer, Saratoga, Schoenectady, Schoharie, Ulster, Warren, Washington)
- Binghamton DO - State Office Building, 44 Hawley Street, Binghamton NY 13901 866-802-3804 (for accidents in the following counties: Broome, Chemung, Chenango, Corland, Delaware, Otsego, Schuyler, Sullivan, Tioga, Tompkins)
- Buffalo DO - Bittler Towers, 187 Delaware Avenue, Buffalo NY 14202 866-211-0845 (for accidents in the following counties: Cattaraugus, Chautauque, Erie, Niagara)
- Rochester DO - 180 Main Street West, Rochester NY 14614 866-211-0844 (for accidents in the following counties: Allegany, Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Steuben, Wayne, Wyoming, Yates)
- Syracuse DO - 836 James Street, Syracuse NY 13203 866-502-3730 (for accidents in the following counties: Cayuga, Herkimer, Jefferson, Lewis, Madison, Onondaga, Oswego, St. Lawrence)
- Downstate Centralized Mailing - PO Box 5205, Binghamton NY, 13902-5205 for all DO's in NYC 800-977-1373; in Hempstead 888-898-9536; in Hauppauge 866-861-5354; In Preakin 866-748-8552 (for accidents in the following counties: Bronx, Kings, Nassau, New York, Orange, Putnam, Queens, Richmond, Rockland, Suffolk, Westchester)

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State of New York - Workers' Compensation Board
First Report of Injury
Report Type (MTC) 00-Original

This is information submitted to the New York State Workers Compensation Board. Do not mail this form to the Board.

Employee Name Thomas Lee Jones
WCB Case Number (JCN) A1345678
Date of Injury 09/15/2012
Claim Administrator Claim Number 10266545
Maintenance Type Code Date 09/25/2012
Claim Type M Medical Only
WCB Received Date 09/28/2012

INSURANCE CARRIER INFORMATION

Insurer Name Liberty Mutual Insurance Company
FEIN 22-2336666
Insurer Type I Insurer
Carrier ID No. W123456

CLAIM ADMINISTRATOR INFORMATION

Name Broadspire TPA
Info/Attn Atten: Barbara Johnson
Address PO Box 998
City Rochester State NY
Postal Code 12345-1111 Country USA
FEIN 12-5583251 TPA ID No. T123456

EMPLOYEE INFORMATION

First Name Thomas Middle Name/Initial Lee
Last Name Jones Suffix
Mailing Address 25 Pennsylvania Avenue
City Pleasantville State NY
Postal Code 10019-1234 Country USA
Phone Number: 5184441133 Gender M Male
Date of Birth 05/17/1971 Date of Hire 08/08/2008
Employee ID Type S Employee Social Security Number Employee ID xxxxx6789
Occupation Description Maintenance Worker
Manual Classification 7998 HARDWARE STORE-RETAIL

**EMPLOYEE INJURY**

**Time of injury:** 12:30 **Date Employer Had Knowledge of the Injury** 09/15/2012  
**Initial Date Last Day Worked** 09/15/2012 **Date Employer Had Knowledge of Date of Disability** 09/15/2012  
**Initial Date Disability Began** 09/15/2012 **Date Claim Administrator Had Knowledge of Disability** 09/16/2012  
**Full Wages Paid for Date of Injury** Y **Employer Paid Salary in Lieu of Compensation** N  
**Death Result of Injury** N No **Date of Death** \_\_\_\_\_ **Number of Dependents** 3  
**Nature of Injury** 52 Strain or Tear  
**Part of Body** 41 Upper Back Area  
**Cause of Injury** 27 From Liquid or Grease Spills  
**Type of Loss** 01 Traumatic Injury  
**Accident/Injury Description**  
Walking down the hall way and slipped

**RETURN TO WORK**

**Initial Return to Work Date** 09/27/2012 **Physical Restrictions** Y  
**Return To Work Type** A Actual **Return To Work Same Employer** Y

**ACCIDENT LOCATION AND WITNESSES**

**Premises** E Employer  
**Organization Name** ACME Corporation  
**Street** 20 State Street **State** NY  
**City** Albany **Postal Code** 12212  
**County/Parish** Albany **Country** USA  
**Location Narrative** Walking down the hall and slipped on spilled water  
**Witnesses** **Business Phone Number**  
John Smith 5185550898

**MEDICAL TREATMENT**

**Initial Treatment** 4 Hospitalization > 24 hours  
**Managed Care Org.** 03 The claim's medical losses are administered by a Preferred Provider Organization.  
**Managed Care Org. ID** 000000004 Magna Care

**EMPLOYEE PAYROLL INFORMATION**Employment Status 1 Regular/Full-time EmployeeWages \$852.12Wage Period WeeklyNumber of Days Worked Per Week 5**EMPLOYER INFORMATION**Name ACME CorporationEmployer FEIN xxxxx6789UI Number 225634Industry Code 000001Info/Attn Atten: Human ResourcesMailing Address 20 State StreetCity AlbanyState NYPostal Code 12212Country USAPhysical Addr 20 State StreetCity AlbanyState NYPostal Code 12212Country USAContact Name Mary SmithContact Business Phone Number 5186561478**INSURED INFORMATION**Insured Name ACME CorporationInsured FEIN xxxxx4321Insured Type I InsuredInsured Location ID 2Policy Number ID 5B6645SPolicy Effective Date 04/01/2009Policy Expiration Date 11/11/2012

# FROIs and SROIs



**Claim Event** – an incident that requires you to report information to WCB

## **First Report of Injury (FROI) -**

- may contain information on Claim Administrator, employee, employer, accident information

## **Subsequent Report of Injury (SROI) –**

- may contain information on indemnity payments, non-indemnity payments, reason(s) why claim is not being paid

A report of an event is identified or described using a **Maintenance Type Code (MTC)**

Examples: In FROI-04 and SROI-04, 04 is the MTC that indicates this is a denial.

# Maintenance Type Codes (MTCs)



## ***What are Maintenance Type Codes (MTCs)?***

- Further describes *type* of FROI or SROI being submitted
- Used to report business (claim) events
- Examples of MTCs
  - FROI-UR Upon Request
  - FROI-00 Original Report
  - FROI-01 Cancel Report
  - FROI-02 Change Report
  - SROI-IP Initial Payment
  - SROI-S1 Suspension
  - SROI-RB Reinstatement
  - SROI-SA Sub Annual Report

# FROIs and SROIs



EDI means some paper forms will no longer be used to report claims events to the Board.

Form ID	EDI Submission
C-2, VF-2, VAW-2*	FROI
C-669	FROI or SROI
C-7	FROI or SROI
C-8/8.6	SROI

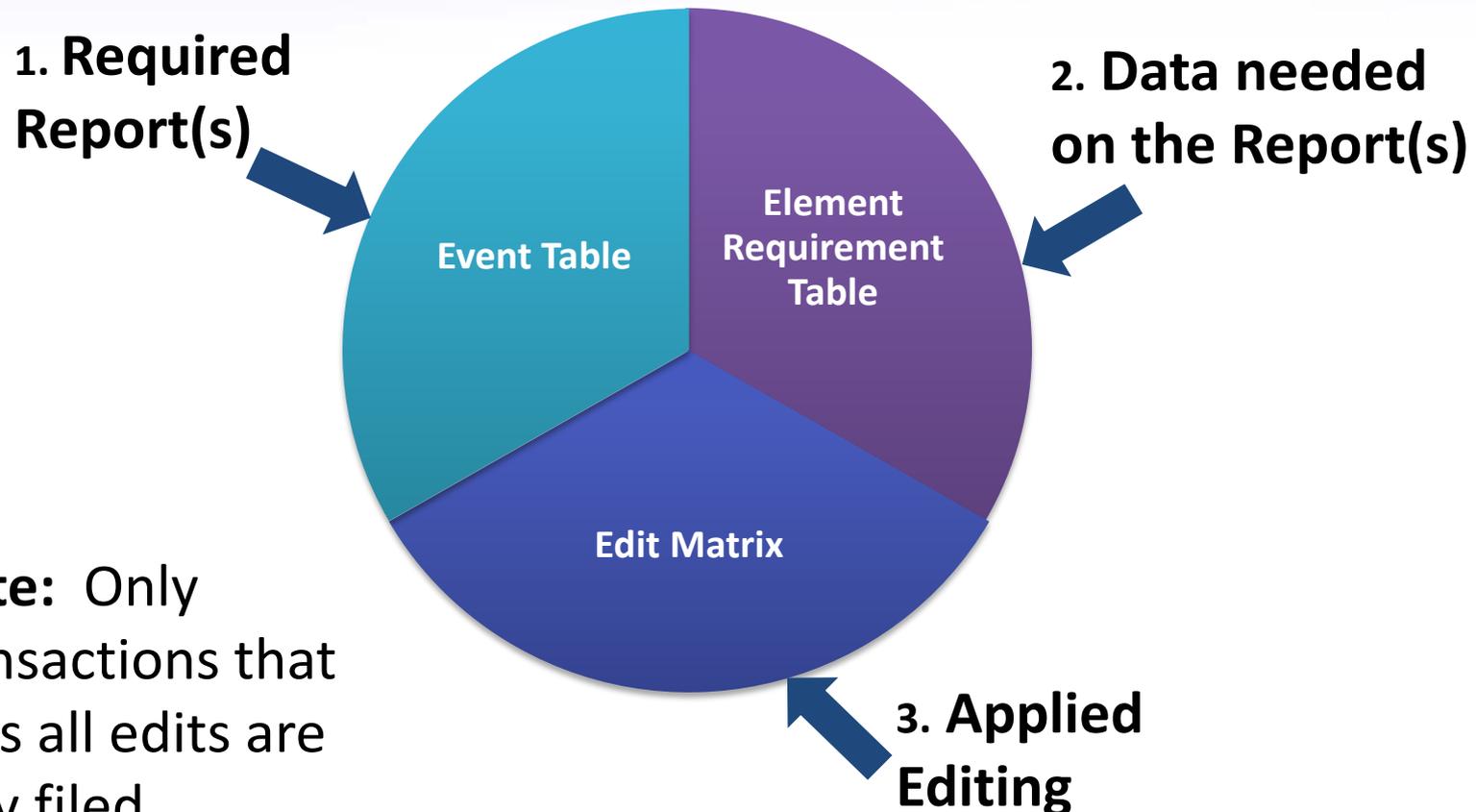
Note: Some parties will still need to receive paper copies of some forms.

The C-11 and C-240 will still be paper forms.

\*Employers will still be able to file a C-2, VF-2, VAW-2 but Insurers won't.

# Claims EDI Tables

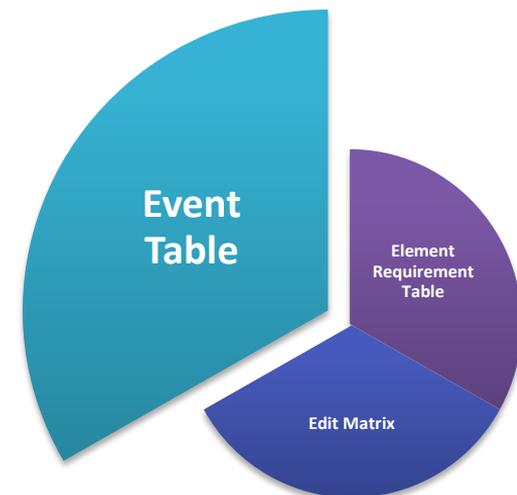
EDI Reporting requirements are defined on the following tables:



**Note:** Only transactions that pass all edits are duly filed

## Event Table—Required reports

- Includes *Form to MTC Crosswalk*
- What events need to be reported
  - Note that SROI-SA Sub Annual is new report
- When to file based on laws and regulations
- What, if any, required paper form mailings need to be sent to parties



# FROI Form to MTC Crosswalk



## Partial list of FROI Form to MTC Crosswalk

First Report of Injury (FROI - 148 & R21) Form to MTC Crosswalk			
Paper Equivalent Form(s)	MTC	MTC Description	MTC Definition
C-2, VF-2, VAW-2 with C-669	00	Original	The original/initial first report transmitted between partners, including the re-transmission of a first report that was rejected due to a critical error.
EC-1.1, EC-84 or correspondence	01	Cancel	The original first report was sent in error.
EC-1.1, EC-84 or correspondence	02	Change	The claim administrator initiates a Change MTC when it identifies a change in a data element designated on the Element Requirement Table.
C-2, VF-2, VAW-2 with C-7	04	Denial	The entire claim is being denied.
NA	AQ	Acquired Claim	Minimal data sent to report that a new claim administrator has acquired the claim.
C-2, VF-2, VAW-2 with C-669	AU	Acquired/ Unallocated	The equivalent of an initial first report (MTC 00) filed by a new claim administrator in response to an AQ transaction that has been rejected because of no claim match on database or when an AU is sent in lieu of an AQ based on the Jurisdiction's Event Table.

# FROI Event Table



The First Report of Injury (FROI) Event Table is designed to provide information integral for a sender to understand New York's EDI reporting requirements. It relates EDI information to the circumstances under which they are initiated as well as the timeframes for sending the information. These circumstances and timeframes reflect legislative mandates and specifications relative to reporting requirements based on various criteria.

**Interpreting New York's requirements:** For a (Report Type) (Maintenance Type-Code) meeting (Event Rule Criteria) within (Event Rule Date range - FROM/THRU) where the (Trigger Criteria-Trigger Value), the Report is due (Report Due Value-Type) from the (Report Due-From). If the Event Rule Thru date is blank, reporting requirements apply until further notice. When a Paper Form(s) is indicated, this implies that in addition to the EDI transaction, this form(s) must be sent to the Receiver indicated. When multiple events for an MTC are listed, the report is due on whichever due date is greater.

Release	Report Type	Maintenance Type		Event Rule			Report Trigger		When is the Report Due?			Paper Form(s)	Receiver
		Code	Description	Criteria	From	Thru	Criteria	Trigger Value	Value	Due Type	From		
3.0	FROI	00	Original	3= Jurisdiction Defined	TBD		C = Lost time of one day beyond the working day or shift on which the accident occurred as defined by §110(2) and proposed amendment to NYCRR §300.22.	Lost Time >= 1 Day	18	C	J=Report Trigger	Statement of Rights Form C-430S. If carrier has a Diagnostic Testing Network, DT-1 should also be sent	EE
3.0	FROI	00	Original	3= Jurisdiction Defined	TBD		J = Jurisdiction Defined. Any claim that will require medical treatment beyond ordinary first aid or more than two treatments by a person rendering first aid as defined by §110(2) and proposed amendment to NYCRR §300.22.	NA	18	C	J=Report Trigger	Statement of Rights Form C-430S. If carrier has a Diagnostic Testing Network, DT-1 should also be sent	EE
3.0	FROI	00	Original	3= Jurisdiction Defined	TBD		J = Jurisdiction Defined. Occupational Disease - A disease resulting from the nature of employment and contracted therein as defined by §2 and proposed amendment to NYCRR §300.22.	NA	18	C	J=Report Trigger	Statement of Rights Form C-430S. If carrier has a Diagnostic Testing Network, DT-1 should also be sent	EE
3.0	FROI	00	Original	3= Jurisdiction Defined	TBD		J = Jurisdiction Defined. Notification of injury due within 10 days after the employer first has knowledge of the disability event as defined by proposed amendment to NYCRR §300.22.	NA	10	C	C= Employer Notification	Statement of Rights Form C-430S. If carrier has a Diagnostic Testing Network, DT-1 should also be sent	EE

# MTC Filing Instructions



These Filing Instructions summarize the MTC that must be filed to report a specific claim event and the filing due dates for that Claim Event

ID	Scenario	Description	Filing Requirements	
			MTC	Due Date
<b>Medical Only</b>				
1	No Lost Time	<p>The injured worker will require medical treatment beyond ordinary first aid or more than two treatments by a person rendering first aid as defined by §110(2) and proposed amendment to NYCRR §300.22. This includes an occupational disease as defined by §2. There is no lost time beyond the working day or shift on which the accident occurred as defined by §110(2) and proposed amendment to NYCRR §300.22.</p> <p><b>Important:</b> Statement of Rights Form C-430S to be sent to the claimant by Claim Administrator. If carrier has a Diagnostic Testing Network, Form DT-1 should also be sent to the claimant.</p>	FROI 00	<p>Within <b>18 days</b> after the disability event or within <b>10 days</b> after the employer has knowledge of the disability event, whichever period is the greater.</p>

FROI-00 No Lost Time

# FROI-00 Scenario



*Claimant has NOT lost any time from work*

Employee John Doe missed the last step getting off a ladder at the employer's jobsite located at 1234 Broadway, Albany, NY and sprained his right ankle on **August 1, 2012** at 1:00 p.m. He started work at 7:00 a.m. Doe's foreman, Jane Smith, witnessed the accident. The employee **continued to work that day**. Mr. Doe began experiencing worsening pain after leaving work at the end of his shift and sought treatment **beyond ordinary first aid**. Mr. Doe was initially treated and released from the Emergency Room of Albany Memorial Hospital. Doe's foreman **reported the injury on August 3, 2012** to the Insurer / Claim Administrator.

On August 8, 2012, the Claim Administrator determined that the claim is compensable. The Claim Administrator reported the loss information to the NYS Workers' Compensation Board by sending the Original First Report of Injury (**FROI 00**) to the NYSWCB on **August 8, 2012**.

## SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

# Acquired Claims



## **FROI: AQ**

- A new Claim Administrator becomes responsible for a claim
  - New Claim Administrator submits FROI-AQ within 10 days of acquisition

## **FROI: AU**

- Claim Administrator may submit FROI-AU instead of FROI-AQ when Claim Administrator has all required data
  - or
- Claim Administrator must send FROI-AU if FROI-AQ is rejected by WCB (acknowledgement of TR) because there is no matching case (FROI)
  - New Claim Administrator submits FROI-AU within 30 days of receiving a TR

# Acquired Claims



Acquired Claims				
27	<b>New Claim Administrator</b>	<p>A new Claim Administrator becomes responsible for a Claim</p> <p><b>Important:</b> FROI-AQ to be sent to claimant and claimant attorney(if any), if none has been previously sent.</p>	<b>FROI AQ</b>	Within <b>10 Days</b> after acquisition of claim
28	<b>New Claim Administrator Pays Benefits</b>	<p>A new Claim Administrator makes payment of benefits to an injured worker.</p> <p><b>Important:</b> FROI-AQ to be sent to claimant and claimant attorney(if any), if none has been previously sent. SROI-AP to be sent to claimant and claimant attorney(if any).</p>	<b>FROI AQ + SROI AP</b>	<p><b>FROI AQ:</b> Within <b>10 days</b> after the acquisition of the claim.</p> <p><b>SROI AP:</b> Within <b>16 days</b> after payments are made by the new Claim Administrator.</p>
30	<b>Unreported Claim Acquired</b>	<p>A new Claim Administrator becomes responsible for a claim that has not been reported to the Board.</p> <p style="text-align: center;"><u>OR</u></p> <p>A new Claim Administrator is not aware that a FROI 00 or FROI UR was previously submitted for a claim.</p> <p><b>Important:</b> FROI-AU to be sent to claimant and claimant attorney(if any), if none has been previously sent. When <b>SROI AP</b> is filed, SROI-AP to be sent to claimant and claimant attorney(if any).</p>	<b>FROI AU + SROI AP</b>	<p><b>FROI AU:</b> Within <b>10 days</b> after the acquisition of the claim.</p> <p><b>SROI AP:</b> Within <b>16 days</b> after payments are made by the new Claim Administrator.</p>

# FROI-AQ Scenario



## *New Claim Administrator Acquires Claim from Another Administrator*

The Claim Administrator transferred a claim (whether open or closed) to another Claim Administrator, Great Lakes Claims on **November 15, 2012**. The original claim administrator had filed an FROI when the claim was initially reported.

The new Claim Administrator, Great Lakes Claims, reported the acquisition to the NYS Workers' Compensation Board by sending Acquired (**FROI AQ**) transaction report to the NYSWCB on **November 19, 2012**.

### **SEQUENCE OF BUSINESS EVENTS (MTC):**

**Event 1: FROI MTC AQ – Acquired Claim, First Report of Injury**

# FROI-01 Cancel



Administrative				
34	Cancel Claim	<p>A <b>FROI 00</b> was sent to the Board in error and the Claim Administrator seeks to cancel the claim.</p> <p>Note: If any MTC's other than FROI-00 have been accepted or other documents for this claim exist in the Electronic Case Folder, the <b>FROI 01</b> will not be accepted. The Claim Administrator must submit Form RFA-2 to the Board.</p>	<b>FROI 01</b>	Immediately upon knowledge of the error

- FROI-01 reports cancellation of entire claim.
- FROI-01 must be filed as soon as Claim Administrator knows of the error.
- WCB will *not accept* an FROI-01 if there are SROIs or other documents in the Case Folder. **The Claim Administrator will have to submit an RFA-2 to WCB to request cancellation.**

# FROI-01 Scenario



*Claim Administrator submits Cancellation of Claim which was submitted in Error*

Employee John Doe slipped on a wet floor while working for the ABC Supermarket in **Pittsfield, MA** on August 1, 2012. Mr. Doe also lives in **Pittsfield, MA**. The claimant did NOT seek any treatment for the injury and continued to work without interruption. The employer notified the Claim Administrator of the injury on **August 3, 2012**.

On August 8, 2012, the Claim Administrator reported the loss information to the NYS Workers' Compensation Board by sending the Original First Report of Injury (**FROI 00**) to the NYSWCB on **August 8, 2012**. On **August 10, 2012**, the Claim Administrator was informed that this is **NOT a New York claim and should in fact be a Massachusetts claim**. The Claim Administrator reported the error and cancellation to the NYS Workers' Compensation Board by sending the cancellation (**FROI 01**) to the NYSWCB on **August 10, 2012**.

## SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: FROI MTC 01 – Cancel**

# SROI Form to MTC Crosswalk



Subsequent Report of Injury (SROI A49 & R22) Form to MTC Crosswalk			
Paper Equivalent	MTC	MTC Description	MTC Definition
EC-1.1, EC-84 or correspondence	02	Change	The claim administrator initiates a Change MTC when it identifies a change in a data element designated on the Element Requirement Table.
C-7	04	Denial	The entire claim is being denied.
C-8/8.6	AP	Acquired/ Payment	The claim administrator who acquired the claim has processed AP Acquired/Payment – the first payment of indemnity benefits.
C-8/8.6	CA	Change in Benefit Amount	The Net Weekly Amount (DN0087) for this benefit type has changed from the previously reported Net Weekly Amount (DN0087).

Partial list of SROI Form to MTC Crosswalk

# SROI-AP Acquired Payment



- Acquiring claim administrator reports its first indemnity payments on the AP transaction
- Include the totals of indemnity and medicals paid by prior claim administrator(s)

# Denials: FROI-04 and SROI-04



## Denials

8	Full Denial of Claim	<p>When the right to compensation is controverted by the Claim Administrator, as defined by §25(2)(a).</p> <p><b>Important:</b> FROI-04 to be sent to claimant, claimant attorney(if any), health providers and disability carrier.</p>	FROI 04	<p>Within <b>18 days</b> after the disability event or within <b>10 days</b> after the employer has knowledge of the disability event, whichever period is the greater.</p>
9	Full Denial of Claim	<p>When the right to compensation is controverted by the Claim Administrator, as defined by §25(2)(a) or §25(2)(b).</p> <p><b>Important:</b> SROI-04 to be sent to claimant, claimant attorney(if any), health providers and disability carrier.</p>	FROI 00 + SROI 04	<p><b>FROI 00:</b> Within <b>18 days</b> after disability event or within <b>10 days</b> after the employer first has knowledge of the disability event, whichever period is the greater.</p> <p><b>SROI 04:</b> Within <b>18 days</b> of the disability event or within <b>10 days</b> after the employer first has knowledge of the disability event, or within <b>25 days</b> of Indexing, whichever period is the greater.</p>

# SROI-04 Scenario



## *Claim Administrator Denies Claim in its Entirety after submitting FROI 00*

Employee John Doe fell off a ladder at the employer's jobsite on **August 1, 2012** at 1:00 p.m. The employee was sent to the hospital and initially treated and released from the Emergency Room of Albany Memorial Hospital. Doe's foreman **reported the injury on August 3, 2012** to the Insurer / Claim Administrator.

On August 8, 2012, the Claim Administrator reported the loss information to the NYS Workers' Compensation Board by sending the Original First Report of Injury (**FROI 00**) to the NYSWCB. On August 10, 2012, the employer received the results of the employer's mandatory toxicology screening performed at the hospital and learned that John Doe was intoxicated at the time of his accident. They immediately inform the Claim Administrator of this information.

On **August 10, 2012**, the Claim Administrator determined that the claim is **NOT** compensable due to this intoxication. The Claim Administrator reported the denial information to the NYS Workers' Compensation Board by sending the Denial Subsequent Report of Injury (**SROI 04**) to the NYSWCB on **August 10, 2012**.

### **SEQUENCE OF BUSINESS EVENTS (MTC):**

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC 04 – Denial Subsequent Report**

# SROI-CD Compensable Death



## Initial Payments

4	<p><b>Causally Related Death Beneficiary Investigation</b></p>	<p>The injured worker has died and the death is related to employment, but no payments are being made pending further beneficiary investigation.</p> <p><b>Note:</b> If death does not occur on the same day as accident, a <b>FROI 00</b> needs to be filed for both the accident claim and the death claim.</p>	<p><b>FROI 00</b> + <b>SROI CD</b></p>	<p><b>FROI 00:</b> Within <b>18 days</b> of the disability event or within <b>10 days</b> after the employer has knowledge of the disability event, whichever period is the greater.</p> <p><b>SROI CD:</b> Within <b>18 days</b> after Date of Death or within <b>10 days</b> after the employer first has knowledge of the death, which period is the greater.</p>
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Mapped to our C-669 for cases that are not Disputed but payment has not begun because you are awaiting information as to dependents, if any, or dependency proofs-accidental death not controverted.

# SROI-CD Scenario



## *Same Date of Death and Accident – with Dependents*

Employee John Doe fell from a ladder at the employer's jobsite located at 1234 Broadway, Albany, NY and suffered a serious head injury on **August 1, 2012** at 1:00 p.m. The employee was immediately transported to the Emergency Room of Albany Memorial Hospital and was **pronounced dead on August 1, 2012**. Doe's foreman **reported the injury and death on August 3, 2012** to the Insurer / Claim Administrator.

The Claim Administrator attempted to contact Mr. Doe's widow, Mary Doe, to verify her relationship but was unable to get in touch with her immediately. The Claim Administrator reported the loss to the NYS Workers' Compensation Board by sending both the Original First Report of Injury (**FROI 00**) and Compensable Death (**SROI CD**) transaction reports to the NYSWCB on **August 8, 2012**.

### SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC CD – Compensable Death**

**NOTES:** If death does **NOT** occur on the **SAME** day as accident, a **FROI-00** needs to be filed for **BOTH** the accident claim and the death claim.

**The AFF-1, C-62, C-64, and C-65 are still required for all Death Cases**

### Initial Payments

3	<b>Employer Paid Lost Time</b>	<p>The injured worker has lost time beyond the working day or shift on which the accident (includes occupational disease) occurred as defined by §110(2) and wages are paid by the Employer per §25(1)(c).</p> <p><b>Important:</b> Statement of Rights Form C-430S to be sent to the claimant by Claim Administrator. If carrier has a Diagnostic Testing Network, Form DT-1 should also be sent to the claimant.</p>	<p><b>FROI 00</b> + <b>SROI EP</b></p>	<p><b>FROI 00:</b> Within <b>18 days</b> of the disability event or within <b>10 days</b> after the employer has knowledge of the disability event, whichever period is the greater.</p> <p><b>SROI EP:</b> Within <b>18 days</b> of the disability event or within <b>10 days</b> after the employer has knowledge of the disability event, or within <b>25 days</b> of Indexing, whichever period is the greater.</p>
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Mapped to our C-669 for cases that are not disputed but payment has not begun because full wages are being paid by employer during disability. A reimbursement request must be filed by the employer if reimbursement is requested.

# SROI-EP Scenario



## *Employer Paid Wages in lieu of compensation*

Employee John Doe fell from a ladder at the employer's jobsite located at 1234 Broadway, Albany, NY and broke his right leg on **August 1, 2012** at 1:00 p.m. He started work at 7:00 a.m. Doe's foreman, Jane Smith, witnessed the accident. The employee left work immediately after the injury and **has not returned to work**. Mr. Doe was initially treated and released from the Emergency Room of Albany Memorial Hospital and referred for follow up with a local orthopedic doctor. The employer has **continued to pay Mr. Doe's wages since his injury**. Doe's foreman **reported the injury on August 3, 2012** to the Insurer / Claim Administrator.

On August 8, 2012, the Claim Administrator determined that the claim is compensable. The **employer continues to pay Mr. Doe full wages in lieu of compensation**. The Claim Administrator reported the loss and payment information to the NYS Workers' Compensation Board by sending both the Original First Report of Injury (**FROI 00**) and Employer (**SROI EP**) transaction reports to the NYSWCB on **August 8, 2012**.

### **SEQUENCE OF BUSINESS EVENTS (MTC):**

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC EP – Employer Paid**

# SROI-IP Initial Payment



## Initial Payments

2	<b>Insurer Paid Lost Time</b>	<p>The injured worker has lost time beyond the working day or shift on which the accident (includes occupational disease) occurred as defined by §110(2) and benefits are paid by the Claim Administrator per §25(1)(c).</p> <p><b>Important:</b> Statement of Rights Form C-430S to be sent to the claimant by Claim Administrator. If carrier has a Diagnostic Testing Network, Form DT-1 should also be sent to the claimant.</p>	<b>FROI 00 + SROI IP</b>	<p><b>FROI 00:</b> Within <b>18 days</b> after the disability event or within <b>10 days</b> after the employer has knowledge of the disability event, whichever period is the greater.</p> <p><b>SROI IP:</b> Within <b>18 days</b> of the disability event or within <b>10 days</b> after the employer has knowledge of the disability event, whichever period is the greater.</p>
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Mapped to our C-669 for cases that are not disputed and payment has begun. This is also used to show that temporary payment of compensation and prescribed medicine has begun without prejudice and without admitting liability (Sec. 21-a WCL)

# SROI-IP Scenario



## *Disability is Immediate & Continuous*

Employee John Doe fell from a ladder at the employer's jobsite located at 1234 Broadway, Albany, NY and broke his right leg on **August 1, 2012** at 1:00 p.m. He started work at 7:00 a.m. Doe's foreman, Jane Smith, witnessed the accident. The employee left work immediately after the injury and **has not returned to work**. Mr. Doe was **advised to remain out of work** by his orthopedic doctor. Doe's foreman **reported the injury on August 3, 2012** to the Insurer / Claim Administrator.

The Claim Administrator **issued a check on August 15, 2012** to the injured employee, for **Temporary Total Disability Benefits**, for the period **August 2, 2012 through August 15, 2012 and continuing**.

The Claim Administrator reported the loss and initial payment information to the NYS Workers' Compensation Board by sending both the Original First Report of Injury (**FROI 00**) and Initial Payment (**SROI IP**) transaction reports to the NYSWCB on **August 8, 2012 (FROI)** and **August 15, 2012 (SROI)**.

### SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC IP – Initial Payment**

# Benefit Changes



## **SROI-CA - Change in Benefit Amount** only used when:

- Indemnity benefits are currently being paid **and**
- The Net Weekly Amount changes due to recalculation of Gross Weekly Amount or application of adjustments and/or credits

### **OR**

- The Net Weekly Amount changes after a Suspension and an adjustment check is issued for the same period of indemnity previously paid

## **SROI-CB - Change in Benefit Type** only used when:

- Indemnity benefits are currently being paid **and**
- A new Benefit Type Code (BTC) begins **and**
- The previous Benefit Type Code ends or is reclassified **and**
- No break in benefit periods

Note that an RFA-2 is required to request reduction or suspension of a rate that has been directed by the Board pursuant to 12 NYCRR 300.23.

# Benefit Changes



Payment Changes				
6	<b>Benefit Rate Changes</b>	<p>Notification of change in benefit rate based upon payroll information received by the Claim Administrator is required per NYCRR §300.23.</p> <p><b>Important:</b> SROI-CA with supporting documentation to be sent to claimant and claimant attorney(if any).</p>	<b>SROI CA</b>	Within <b>16 Days</b> of change in benefit rate
7	<b>Benefit Type Changes</b>	<p>Notification of change in benefit type based upon medical information received by the Claim Administrator is required per NYCRR §300.23.</p> <p><b>Important:</b> SROI-CB with supporting documentation to be sent to claimant and claimant attorney(if any).</p>	<b>SROI CB</b>	Within <b>16 Days</b> of change in benefit type

Mapped to our C-8/8.6. Note that an RFA-2 is required to request reduction or suspension of a rate that has been directed by the Board pursuant to 12 NYCRR 300.23.

# SROI-CA Scenario



## *Benefit Rate Change due to subsequent payroll data*

Employee John Doe remained out of work. On August 31, 2012, the Claim Administrator receives the C-240 payroll data from the employer. Upon inspection they determine that for the 52 weeks prior the claimant actually had an **average weekly wage of \$1,500**. The Claim Administrator **issued a check on August 31, 2012 for an adjustment to the benefit rate for period August 2, 2012 through August 31, 2012.**

The Claim Administrator reported the adjustment in rate due to payroll date by sending the Change in Benefit Amount (**SROI CA**) transaction report to the NYSWCB on **August 31, 2012.**

### **SEQUENCE OF BUSINESS EVENTS (MTC):**

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC IP – Initial Payment**

**Event 3: SROI MTC CA – Change in Benefit Amount**

# SROI-CB Scenario



*Claimant medical indicates change in degree of disability*

Employee John Doe remained out of work and was receiving ongoing payments. On **September 12, 2012**, the Claims Administrator is notified by John Doe's doctor that the he is **no longer at a Total Disability** and is now at a **Moderate Temporary Partial Disability as of September 5, 2012**. John Doe's employer cannot accommodate the work restrictions. The Claim Administrator modified the payments to reflect a **Temporary Partial Disability** and **issued a check on September 19, 2012** to the injured employee for the period **September 5, 2012 through September 19, 2012 and continuing**.

The Claim Administrator reported the adjustment in rate based upon the medical report by sending the Change in Benefit Type (**SROI CB**) transaction report to the NYSWCB on **September 19, 2012**.

## SEQUENCE OF BUSINESS EVENTS (MTC):

Event 1: FROI MTC 00 – Original First Report

Event 2: SROI MTC IP – Initial Payment

Event 3: SROI MTC CB – Change in Benefit Type

Note that an RFA-2 is required to request reduction or suspension of a rate that has been directed by the Board pursuant to 12 NYCRR 300.23.

# FROI or SROI 02 Change



- Use an 02 Change transaction to report a change in data only if no other transaction is intended to serve that purpose
- Use the MTC 02 (unless another MTC applies) whenever a data element marked FY, Y, or YC on the Element Requirement table has changed
- Data element marked with an FC or M **MUST** be included in the 02 Change transaction. All of the previously reported data should be submitted as well.

# FROI-02 Scenario



*Claimant has NOT lost any time from work but has moved to a new address*

Employee John Doe, sought medical treatment on **August 1, 2012**, from his primary care physician due to ongoing pain from his injury of July 31, 2012. After receiving the medical report on **August 5, 2012**, the Claim Administrator determined that the claim is compensable and reported the loss information to the NYS Workers' Compensation Board by sending the Original First Report of Injury **FROI-00** –on **August 25, 2012**, the claimant notified the Claim Administrator that he moved across town and has a new Street address. The Claim Administrator sends the new address on Change (**FROI 02**) to the NYSWCB on **August 26, 2012**.

## SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: FROI MTC 02 – Change Report**

# SROI-S1 Suspension Return to Work or Medically Determined/Qualified to Return to Work



## Suspensions

<b>12</b>	<b>Return to Work</b>	<p>A Claim Administrator has received notice of return to work by the injured worker as defined by NYCRR §300.23 and §25(1)(b).</p> <p><b>Important:</b> SROI-S1 to be sent to claimant and claimant attorney(if any).</p>	<b>SROI S1</b>	Within <b>16 days</b> after payments have been stopped
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# SROI-S1 Scenario



*Indemnity Suspended - Claimant has returned to work full duty*

Employee John Doe remained out of work. On **September 27, 2012**, the Claim Administrator receives notification that John Doe **returned to work on September 26, 2012 with no restrictions**. The Claim Administrator mails John Doe his final indemnity check on September 27, 2012.

The Claim Administrator reported the suspension of benefits by sending the Suspension (**SROI S1**) transaction report to the NYSWCB on **September 27, 2012**.

## **SEQUENCE OF BUSINESS EVENTS (MTC):**

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC IP – Initial Payment**

**Event 3: SROI MTC S1 – Suspension, Returned to Work, or Medically Determined/Qualified to Return to Work**

# SROI-S4 Suspension, Claimant Death



Suspensions				
17	<b>Death of Claimant</b>	<p>A Claim Administrator making payments has received proof that an injured worker has passed away.</p> <p><b>Important:</b> SROI-S4 with supporting documentation to be sent to claimant and claimant attorney(if any).</p>	<b>SROI S4</b>	Within <b>16 days</b> after payments have been stopped

# SROI-S4 Scenario



## *Different Date of Death and Accident*

Employee John Doe remained out of work on a Permanent Partial Disability.

On **November 27, 2012**, John Doe entered the local hospital for an authorized back surgery. While the surgery was taking place John Doe died due to the surgery. The Claim Administrator was notified on **November 30, 2012** by Doe's widow of his death.

The Claim Administrator, **for the date of accident February 2, 2004** reported the suspension of benefits and death information to the NYS Workers' Compensation Board by sending Claimant Death (**SROI S4**) transaction reports to the NYSWCB on **November 30, 2012**.

### **SEQUENCE OF BUSINESS EVENTS (MTC):**

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC IP – Initial Payment**

**Event 3: SROI MTC S4 – Suspension, Claimant Death**

# SROI-S4 Scenario-continued



After suspending benefits, the Claim Administrator verified there was a widow and that all children were grown and not eligible dependents. Based on Mr. Doe's wage (\$600.00 per week), Doe's widow is entitled to death benefits of \$400.00 per week.

On **December 7, 2012**, the Claim Administrator issued a check for the first installment of death benefits to Mrs. Mary Doe as well as reimbursing the widow for \$3,100 in funeral expenses she incurred. The Claim Administrator reported the loss and initial payment information to the NYS Workers' Compensation Board by sending both the **FROI 00** and the Initial Payment (**SROI IP**) reports to the NYSWCB on **December 7, 2012**. The Claim Administrator **uses November 27, 2012 as the date of accident/death** on the new submissions.

**As the Original Date of Accident is Prior to January 1, 2008** On the FROI 00, the Claim Administrator would enter the dates for DN0040 (Date Employer Had Knowledge of Injury), DN0041 (Date Claim Administrator Had Knowledge of Injury), and DN0281 (Date Employer Had Knowledge of Date of Disability) as the original date of injury and not the date of knowledge of the new death claim.

## **SEQUENCE OF BUSINESS EVENTS (MTC):**

**Event 4: FROI MTC 00 – Original First Report (for death)**

**Event 5: SROI MTC IP – Initial Payment**

# SROI-S7 Suspension, Benefits Exhausted



## Suspensions

19	<b>Benefits Exhausted</b>	<p>Entitlement of the injured worker to benefits has been exhausted as defined by NYS WCL.</p> <p><b>Note:</b> Applies to end of schedule loss of use with future payments and end of permanent partial disability payments</p> <p><b>Important:</b> SROI-S7 to be sent with supporting documentation, when required, to claimant and claimant attorney(if any).</p>	<b>SROI S7</b>	Within <b>16 days</b> after payments have been stopped
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# SROI-S7 Scenario



## *Claimant is Classified as PPD and Exhausts their Benefits*

Employee John Doe, continued to remain out of work. On August 15, 2012 a hearing was held and it was determined by the Workers' Compensation Law Judge that the claimant had a permanent partial disability (PPD) with continuing payments at the PPD rate from August 15, 2012 and were **subject to a statutory benefits cap of 300 weeks**. The Claim Administrator reported the payment information to the NYS Workers' Compensation Board by sending **SROI CB** transaction report to the NYSWCB on **August 23, 2012**.

On **May 15, 2018**, the Claim Administrator determines that the claimant has exhausted the benefit amount of 300 weeks of compensation and stopped payment to the claimant.

The Claim Administrator reported the suspension to the NYS Workers' Compensation Board by sending the Suspension, Benefits Exhausted (**SROI S7**) transaction report to the NYSWCB on **May 22, 2018**.

### SEQUENCE OF BUSINESS EVENTS (MTC):

Event 1: FROI MTC 00 – Original First Report

Event 2: SROI MTC IP – Initial Payment

Event 3: SROI MTC CB – Change in Benefit Type

Event 4: SROI MTC SA – Sub Annual Report

Event 5: SROI MTC S7 – Suspension, Benefits exhausted<sup>57</sup>

# SROI-PY: Payment



Awards				
30	Payment of Awards	<p>Payments of compensation are made according to the terms of an award are payable within 10 days from the date decision duly filed per §25(3)(f).</p> <p><b>Important:</b> SROI-PY to be sent to claimant and claimant attorney(if any).</p> <p><b>Note:</b> If a more appropriate MTC should be filed to note the Award that MTC should be filed in place of the SROI-PY. For example, a WCLJ directed a Change in Benefit Type and the SROI-CB was sent in place of a SROI-PY as the SROI-CB was most appropriate per the NYS Event Table.</p>	SROI PY	Within <b>16 Days</b> after the payment is made.
31	Lump Sum Payment	<p>The reporting of the payment to an injured worker after a §32 Waiver Agreement is approved by the Board.</p> <p><b>Note:</b> <b>SROI SD</b> must also be filed, when a claimant is receiving weekly payments prior to the approval of a §32 Waiver Agreement.</p> <p><b>Important:</b> SROI-PY to be sent to claimant and claimant attorney(if any).</p>	SROI PY	Within <b>16 Days</b> after the payment is made.
32	Payment of Penalties	<p>The reporting of penalties that are paid to an injured worker.</p> <p><b>Important:</b> SROI-PY to be sent to claimant and claimant attorney(if any).</p>	SROI PY	Within <b>10 Days</b> after the imposition of the penalty.

# SROI-PY Scenario



## Section 32 Settlement Closes Medical and Indemnity

Employee John Doe continued out of work for several months. On November 13, 2012, the Claim Administrator offered the claimant a Section 32 Settlement in the amount of \$20,000 (including a \$2,000 attorney's fee) to settle the medical and indemnity on the claim as well as suspend the continuing payments on the date of the hearing. John Doe accepts the Claim Administrator's offer. The signed paperwork was forwarded to the NYSWCB immediately.

A hearing was held on **December 14, 2012**, in which the agreement was **approved** by the Board and the **Notice of Approval was issued on December 31, 2012**. The Claim Administrator reported the suspension of claimant's weekly payments as of December 14, 2012 to the NYS Workers' Compensation Board by sending a Suspension (**SROI SD**) transaction report to the NYSWCB on **December 18, 2012**.

On January 3, 2013, the Claim Administrator issued payment to the claimant and claimant's attorney and reported the payments to the NYS Workers' Compensation Board by sending Payment Report (**SROI PY**) to the NYSWCB on **January 3, 2013**.

### SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC IP – Initial Payment**

**Event 3: SROI MTC SD – Suspension, Directed by Jurisdiction**

**Event 4: SROI MTC PY – Payment Report**

# SROI-SA Sub-Annual



## Periodic Reports

40	<p><b>Sub-Annual Reports for Open Claims</b></p>	<p>If no resolution has been issued stating no further action or the claim has been Reopened after such a resolution has been issued, then the case is considered open.</p> <p><b>Note:</b> A final <b>SROI SA</b> is required after a case has been designated as No Further Action since the last periodic report. This final <b>SROI SA</b> is to be filed <b>180 days</b> after the date of injury or <b>180 days</b> after the last <b>SROI SA</b> that was sent.</p>	<p><b>SROI SA</b></p>	<p>Initial <b>SROI SA: 180 Days</b> from date of injury; or if no date of injury is identified, then <b>180 Days</b> from <b>FROI</b> filing</p> <p>Subsequent <b>SROI SA:</b> Every <b>180 Days</b> after initial <b>SROI SA</b> filing, until case is designated as No Further Action</p>
41	<p><b>Sub-Annual Reports for No Further Action Claims with ongoing indemnity benefits</b></p>	<p>If a resolution has been issued stating no further action and the Claim Administrator is paying ongoing indemnity benefits, <b>SROI SA</b> is to be filed <b>180 days</b> after the date of injury or <b>180 days</b> after the last <b>SROI SA</b> that was sent.</p>	<p><b>SROI SA</b></p>	<p>Initial <b>SROI SA: 180 Days</b> from date of injury; or if no date of injury is identified, then <b>180 Days</b> from <b>FROI</b> filing</p> <p>Subsequent <b>SROI SA:</b> Every <b>180 Days</b> after initial <b>SROI SA</b> filing, until <b>SROI MTC</b> that suspends payments is filed</p>

# SROI-SA Scenario



*Claimant remains out of work and continues receiving payments 180 days from date of accident*

Employee John Doe, continued out of work on a Temporary Partial Disability at the same rate. On February 1, 2013, the claimant had been out of work for 180 days and per Board Filing Requirements the Claim Administrator was due to file a Sub-Annual Report due to the continuing payments.

The Claim Administrator reported the Sub-Annual Report to the NYS Workers' Compensation Board by sending a Sub-Annual Report (**SROI SA**) transaction report to the NYSWCB on **February 1, 2013**.

## SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC IP – Initial Payment**

**Event 3: SROI MTC CB – Change in Benefit Type**

**Event 4: SROI MTC SA – Sub Annual Report (Ongoing Every 180 Days)**

- Claim Administrators should always submit most current data on each MTC
- Data may be removed in WCB system if a space is sent on the MTC where data had previously been sent



# Sequencing

## Processing Rules

(Refer to DN Reporting Requirement Specific to NYS document located at <http://www.wcb.ny.gov/content/ebiz/eclaims/NYReqTables.jsp> for details)

1) FROI-00 must include DN0074 (claim type) which indicates acceptance of claim for date of injury prior to 1/1/19

## Claim Type Codes:

N = Notification of an Incident Only

M = Medical Only

W = Lost Time with No Paid Indemnity

P = Indemnity with No Lost Time Beyond Waiting Period

I = Indemnity for Lost Time

L = Became Indemnity for Lost Time

B = Became Medical Only

2) FROI-00 must include DN0075 (Agreement to Compensate Code) which indicates acceptance of claim unless DN0074 (Claim Type Code) is N - Notification of an Incident Only, for date of injury on or after 1/1/19.

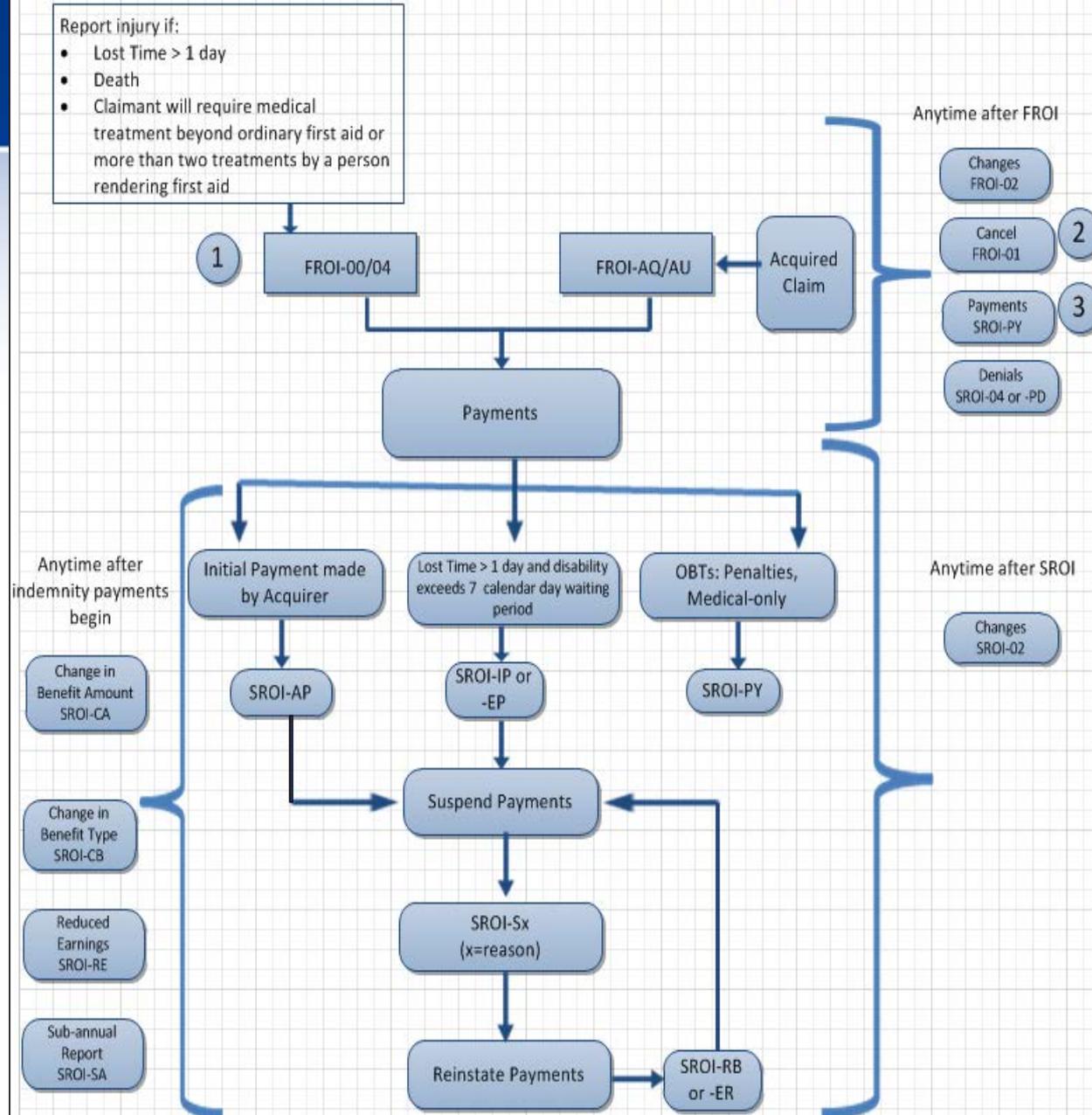
## Agreement to Compensate Codes:

W = Without Liability

L = With Liability

3) A PY can be filed to show payment per a Notice of Decision which includes, but is not limited to, 5xx BTCs.

## NYS EDI Transaction Sequencing



# Legacy Claims



- A legacy claim is any claim that already exists in the WCB database and has been assigned a JCN aka WCB# at the time the claim administrator begins the use of EDI.
- The WCB will provide each trading partner with a data file(s) containing their legacy claims before their EDI implementation date.

# Legacy List



CIS Description	CIS Length	IA's Description	IA's DN #	Notes
1. WCB's Case ID	8	Jurisdiction Claim Number	DN0005	
2. Claimant's First Name	20	Employee First Name	DN0044	
3. Claimant's Middle Initial/Name	30	Employee Middle Initial/Name	DN0045	When exists.
4. Claimant's Last Name	20	Employee Last Name	DN0043	
5. Claimant's Title	5	Employee Last Name Suffix	DN0255	When exists.
6. Claimant's SSN	9	Employee SSN	DN0042	When exists.
7. Claimant's Date of Birth	10	Employee Date of Birth	DN0052	When exists, in [m]m/[d]d/yyyy format.
8. Accident Date's Year	4	Date of Injury's Year	DN0031	When exists, in yyyy format.
9. Accident Date's Month	2	Date of Injury's Month	DN0031	When exists, in [m]m format.
10. Accident Date's Day	2	Date of Injury's Day	DN0031	When exists, in [d]d format.
11. Carrier Case ID	20	Claim Administrator Claim Number	DN0015	When Carrier W# is the Primary Insurer. This value is what exists in CIS. It may or may not be Carrier's or Claim Administrator's.
12. Carrier W#	7			
13. Carrier Name	30	Insurer Name	DN0007	
14. Primary Insurer Indicator	1			When Carrier W# is the Primary Insurer, then "Y" for yes, otherwise "N" for no
15. Case Open Indicator	1			If WCB has decided to take no further action, then this value is "N" for no; otherwise, "Y" for yes

# Legacy Claim Process



1. When reportable event occurs on a claim for which a FROI has yet to be filed, Claim Administrator reviews extract file from NYS Workers' Compensation Board.
2. If case is listed in the extract file, Claim Administrator files FROI-UR.
3. If case is not listed in the extract file, Claim Administrator files FROI-00 or FROI-AU.
4. Claim Administrator files SROI-UR to summarize historical information regarding the claim.
5. Claim Administrator files appropriate SROI.

# Quick Code Reference Guide



Important codes can be found on the **Claims R3 Quick Code Reference Guide**. These include MTCs, Benefit Type Codes (BTCs), and Other Benefit Type Codes (OBTs). If code is crossed off, then NYS does not accept it.

See Section 6 – Data Dictionary from the IAIABC Implementation Guide for full definitions

MAINTENANCE TYPE CODE (MTC'S) (R3 Quick Code Reference List)		
FIRST REPORT:		
00 Original	AQ	Acquired Claim
01 Cancel	CO	Correction
02 Change	UH	Under Investigation
04 Denial	UR	Upon Request
AU		Acquired/Unallocated
SUBSEQUENT REPORT:		
02 Change	PD	Partial Denial
04 Denial	PV	Payment Report
AP Add-Acquired-Benefit-Type	RB	Reinstatement of Benefit
AB Acquired/Payment	RE	Reduced Earnings
CA Change in Benefit Amount	S1	Suspension, RTW or Medically Determined/Qualified to RTW
CB Change in Benefit Type		
CD Compensable Death	S2	Suspension, Medical Non-Compliance
CO Correction	S3	Suspension, Administrative Non-Compliance
EP Employer Paid	S4	Suspension, Claimant Death
ER Employer Reinstatement	S5	Suspension, Incarceration
EW Initial Payment	S6	Suspension, Claimant's Whereabouts Unknown
P1 Partial-Suspension-RTW-or-Med-Determined/Qualified-to-RTW	S7	Suspension, Benefits Exhausted
P2 Partial-Suspension-Medical-Non-Compliance	S8	Suspension-Jurisdiction-Change
P3 Partial-Suspension-Administrative-Non-Compliance	S9	Suspended-Pending-Settlement-Approval
P4 Partial-Suspension-Employee-Death	SD	Suspension, Directed By Jurisdiction
P5 Partial-Suspension-Incarceration	SJ	Suspended Pending Appeal or Judicial Review
P6 Partial-Suspension-Benefits-Exhausted	UH	Under Investigation
P7 Partially-Suspended-Pending-Settlement-Approval	UR	Upon Request
P8 Partially-Suspended-Pending-Appeal-or-Judicial-Review	VB	Volunteer
	AA	Annual
	BM	Bi-Monthly
	BW	Bi-Weekly
	MM	Monthly
	QT	Quarterly
	SA	Sub-Annual

BENEFIT TYPE CODE (DN0085)		
REGULAR BENEFIT TYPES:		
010 Fatal	LUMP	SUM PAYMENTS/SETTLEMENTS:
020 Permanent Total	410	Yes Rehab Maintenance
021 Permanent Total-Supplemental	500	Unspecified Lump Sum Pmt/Settlement
030 Permanent Partial/Scheduled	601	Medical Lump Sum Pmt/Settlement
040 Permanent Partial/Unscheduled	610	Fatal Lump Sum Pmt/Settlement
050 Temporary Total	620	Permanent Total Lump Sum Pmt/Settlement
061 Temporary Total-Catastrophic	621	Perm Total Supp Lump Sum Pmt/Settlement
070 Temporary Partial	624	Employer Paid Lump Sum Pmt/Settlement
080 Employer's Liability	630	Perm Partial Sch Lump Sum Pmt/Settlement
090 Permanent Partial Disfigurement	640	Perm Partial Unsch Lump Sum Pmt/Settlement
210 Employer Paid Fatal Benefits	641	Yes Rehab Maint Lump Sum Pmt/Settlement
230 Employer Paid Permanent Partial-Scheduled	660	Temporary Total Lump Sum Pmt/Settlement
240 Employer Paid (EP) Unspecified	661	Temp Total Cat Lump Sum Pmt/Settlement
242 EP Yes Rehab Maintenance	670	Temporary Partial Lump Sum Pmt/Settlement
250 EP Temporary Total	680	Empire Liability Lump Sum Pmt/Settlement
261 EP Temp Total-Catastrophic	680	Perm Partl Disfigure Lump Sum Pmt/Settlement

CLAIM TYPE CODE (DN0074)	
M	Medical Only
I	Indemnity
N	Notification Only
B	Became Medical Only
L	Became Lost Time

TYPE OF LOSS CODE (DN0290)	
01	Traumatic Injury
02	Occupational Disease
03	Cumulative Injury (other than disease)

WAGE PERIOD CODE (DN0063)	
FROM:	SRO:
01 Weekly	01 Weekly
02 Bi-Weekly	04 Monthly
04 Monthly	
06 Daily	
07 Hourly	

NATURE OF INJURY CODE (DN0035)	
<a href="http://www.wcb.org/Documents%20Library/InjuryDescriptionTablePage.aspx">http://www.wcb.org/Documents%20Library/InjuryDescriptionTablePage.aspx</a>	

CAUSE OF INJURY CODE (DN0037)	
<a href="http://www.wcb.org/Documents%20Library/InjuryDescriptionTablePage.aspx">http://www.wcb.org/Documents%20Library/InjuryDescriptionTablePage.aspx</a>	

INSURED TYPE CODE (DN0184)	
I	Insured
S	Self-Insured
U	Uninsured

INSURER TYPE CODE (DN0185)	
I	Insurer
S	Self-Insurer
G	Guarantee Fund

LUMP SUM PAYMENT/SETTLEMENT CODE (DN0293)	
SF	Settlement Full
SP	Settlement Partial
AS	Agreement Stipulated
AW	Award
AD	Advance
NS	Non-Specified Lump Sum Payment

NON-CONSECUTIVE PERIOD CODE (DN0212)	
W	Waiting Period
B	Benefit Period
A	Adjustment/Credit/Redistribution

PART OF BODY INJURED CODE (DN0036)	
<a href="http://www.wcb.org/Documents%20Library/InjuryDescriptionTablePage.aspx">http://www.wcb.org/Documents%20Library/InjuryDescriptionTablePage.aspx</a>	

OTHER BENEFIT TYPE CODE (OBT'S) (DN0216)	
300	Total Funeral Expenses
310	Total Penalties
311	Total Employee Penalties
320	Total Interest
321	Total Employee Interest
330	Total Employer's Legal Expenses
340	Total Claimant's Legal Expenses
350	Total Payments to Physicians
360	Total Hospital Costs
370	Total Other Medical
380	Total Vocational Rehabilitation Evaluation
390	Total Vocational Rehabilitation Education
400	Total Other Vocational Rehabilitation
420	Total Expert Witness Fees
421	Total Court Reporter Fees
422	Total Private Investigator Fees
430	Total Unallocated Prior Indemnity Benefits
440	Total Unallocated Prior Medical
450	Total Pharmaceutical Costs
455	Total Dental Expenses
460	Total Physical Therapy Costs
465	Total Chiropractic Expenses
470	Total Durable Medical Costs
475	Total Medical Travel Expenses
480	Total Employee Medical/Legal Costs
485	Total Employer's Admin Med/Legal Costs
490	Total Agreed Upon/Ordered Med/Legal Costs

BENEFIT ADJUSTMENT CODE (DN0082)	
A	Apportionment/Contribution
B	Subrogation
E	Employer-Provided Pension
G	Aggravation/Drugs
I	Intoxication/Drugs
J	Appeal Adjustment
L	Disability Insurance/Income
N	Non-Cooperation Rehab Training etc
O	Illegally Employed Minor
M	Social Security Retirement
S	Social Security Disability
T	Acceleration of benefits
U	Unemployment Compensation
V	Settle-Violation-Case-Aboluntary
W	Partial Wage Continuation
X	Partial Reimburse Civil Atty Fees
Z	2 Yrs Continuous Disability
1	Cost of Living Adjustment
2	Fraud/Misrepresentation

BENEFIT CREDIT CODE (DN0126)	
C	Overpayment Credit
M	Credit for Employer-Provided Benefits in Excess of Covered Weekly Benefit
P	Advance

BENEFIT REDISTRIBUTION CODE (DN0130)	
H	Court-Ordered Lien against WC
K	Clmt Atty Fees

INITIAL TREATMENT CODE (DN0039)	
0	No Medical Treatment
1	Minor On-Site Remedies by Employer
2	Minor Clinic/Hosp Remedies/Diagnostics
3	Emergency Evaluation, Diagnostic Testing, and Medical Procedures
4	Hospitalization > 24 hours
5	Future Major Med/Lost Time Anticipated

PARTIAL DENIAL CODE (DN0294)	
A	Denying Indemnity in Whole, not Medical
B	Denying Indemnity in Part, not Medical
C	Denying Medical in Whole, Not Indemnity
D	Denying Medical in Part, Not Indemnity
E	Denying Indemnity in Whole, Medical in Part
F	Denying Medical in Whole, Indemnity in Part
G	Denying Both Indemnity & Medical in Part

REDUCED BENEFIT AMOUNT CODE (DN0202)	
R	Reclassification of Benefit
S	Claim Settled Under Another DOI
N	No Money Settlement
D	Decrease in Indemnity

FULL DENIAL REASON CODE (DN018)	
1	No Compensable Accident
A	Coming and Going
B	Forestry
C	Wrong Intent To Injure Cause
D	No Employer's Control of Accident
E	Deviation From Employment
F	Recreational Social Activity
G	Employer-Employee
H	Employer-Involved-Vehicle
2	No Cause Relationship
A	Apprehension-Genitor
B	Preexisting-Genitor
C	Stress-Genitor-Related
D	No Medical Evidence of Injury
E	No Injury Per Statutory Definition
F	Genitor-Not-Parent-Contributing-Cause-of-Injury

NO COVERAGE	
1	No Coverage
A	No Employee/Employer Relationship
B	Independent Contractor
C	No Statutory Definition of Employee
D	No Jurisdiction
E	No Policy in Effect On Date of Accident
F	Status of Limitation Expired
G	Statutory Exemptions
H	State Employer/Corporate Officer, etc
I	Genitor-Other Coverage
J	Genitor-Genitor-Contributing-Cause-Of-Injury
K	Genitor-Not-Parent-Contributing-Cause-of-Injury

SUBSEQUENT-LOSS/INCOME	
4	Subsequent-Loss/Income
A	Injury Primarily Caused by Negligence or Use of Any Drug
B	Subsequent-Loss/Income-Of Only One Loss/Income-Only in One

OTHER LOSS/INCOME	
5	Other Loss/Income
A	Failure to Report Accident Timely
B	Right-To-Receive
C	Unemployment

EMPLOYMENT STATUS CODE (DN0036)	
(in Numerical Order)	
C	Face Worker
D	Volunteer Worker
E	Seasonal Worker
A	Apprentice/Fulltime
B	Apprentice/Parttime
1	Parttime Employee
2	Parttime Employee
3	Unemployed Employee
4	Retired
5	On Strike
6	Disabled
7	Other

RETURN TO WORK TYPE CODE (DN018)	
A	Active
R	Reseed

EMPLOYEE ID/TITLE QUALIFIER (DN020)	
A	Employee ID Assigned by Jurisdiction
G	Contractor-Subcontractor-Use
C	Contractor-Crew-Card
D	Contractor-Seasonal-Number
S	Employee Social Security Number

APPLICATION ACKNOWLEDGMENT CODE (DN011)	
PD	Not Reported
TA	Transaction Accepted
SC	Claimant-Subcontractor
SA	Transaction-Reported-by-Contractor-Owner
TR	Transaction Reported

TRANSACTION SET ID (DN020)	
148	First Report
R21	First Report-Companion Record
A48	Subsequent Report
R22	Subsequent Report-Companion Record
AKC	Claims Acknowledgment-Claim Record
AKC	Claims-Acknowledgment-Claim-Record
NE1	Transaction-Notice Record
TR	Transaction-Trace Record

TEST/PRODUCTION CODE (DN014)	
P	Production
T	Test (Not Partial or Test)

LATE REASON CODE (DN0077)		
Delay:	L1	No Excuse
	L2	Late Notification-Employer
	L3	Late Notification-Employee
	L4	Late Notification-Jurisdiction Transfer
	L5	Late Notification-Health Care Provider
	L6	Late Notification-Assigned Risk
	L7	Late Investigation
	L8	Fast Processing Delay-Computer Failure
	L9	Manual Processing Delay
	LA	Interrupted Last Time Step To Get Benefit
	LB	Late notification/claim due to a Nature Disaster
	LC	Late notification/claim due to an act of Terrorism

COVERAGE	
C01	Coverage Lack of Information

ERRORS	
E1	Incomplete Determination of No Coverage
E2	Errors From Employer
E3	Errors From Employee
E4	Errors From Jurisdiction
E5	Errors From Health Care Provider
E6	Errors From Other Claim Adversely Affected

DUPES	
D1	Dupe Concerning Coverage
D2	Dupe Concern Compensability in Whole
D3	Dupe Concern Compensability in Part
D4	Dupe Concerning Disability in Whole
D5	Dupe Concerning Disability in Part
D6	Dupe Concerning Impairment

ACCIDENT PREVIOUS CODE (DN0048)	
E	Employer
L	Lessee
X	Other

AGREEMENT TO COMPENSATE CODE (DN0078)	
W	Without Liability
L	With Liability

EMPLOYEE GENDER CODE (DN0035)	
M	Male
F	Female
U	Unknown

QUAL STATUS CODE (DN0034)	
W	Widow
G	Grand
B	Brother
A	Relative/Other

EMPLOYEE MARITAL STATUS CODE (DN0034)	
U	Unmarried/Unwedded/Divorced/Single
M	Married
S	Separated
K	Unknown

DEATH RESULT OF INJURY CODE (DN0046)	
Y	Yes
N	No
U	Unknown

PRE-EXISTING DISABILITY CODE (DN0035)	
Y	Yes
N	No
U	Unknown

EMPLOYEE SOCIAL SECURITY CODE (DN0036)	
A	Single
B	Employee-of-Household
C	Unemployed-Child
D	Unemployed-Student

RECOVERY CODE (DN020)	
900	Special Fund Recovery
910	Child/Spouse Recovery
920	Subrogation Recovery
930	Compensation Recovery
940	Unspecified Recovery
945	Apportionment/Contribution Recovery
950	Second Injury Fund
960	Future Credit Amount
965	Unsettled-Non-Settlement
970	Unsettled-Employee
980	Settlement-Subcontractor-Insurance-Fund
985	Unsettled-Non-Settlement-Other
990	Other Funds
995	Voted Indemnity-Self's Check Recovery
999	Voted Other-Self's Check Recovery

DEPENDENT PAYEE RELATIONSHIP CODE (DN0079)	
1	Relationship
2	Widow
3	Widower
4	Son/Daughter
5	Brother/Sister
6	Other Father
7	Daughter/Child
8	Jurisdiction Fund/State
9	Other
N	Numerous Birth Code (0-9)
0	Jurisdiction Fund

ACKNOWLEDGMENT TRANSACTION SET ID (DN012)	
148	First Report
A48	Subsequent Report

INTERCHANGE VERSION ID (DN013)	
AK03	First Report of Injury-Release 3, Version 0
AK03	Subsequent Report of Injury-Release 3, Version 0
AK03	Claims Acknowledgment-Claim Record-Release 3, Version 0
AK03	Claims-Acknowledgment-Claim-Record-Release-3-Version-0

Optional Not Processed

# Other Benefit Type Codes (DN0216)

Optional (green highlight) = If sent, WCB will process/display.

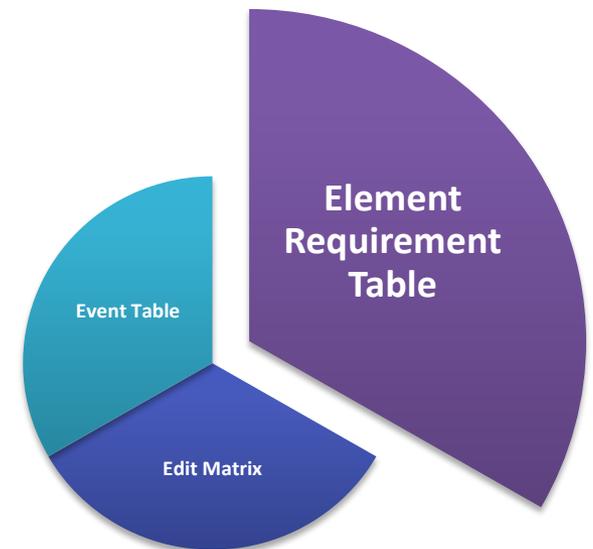
Not Processed (yellow highlight) = If sent, WCB will not process/display.

This is one of your handouts.

# Element Requirement Table



Data Element requirements are defined for each transaction (FROI or SROI) at the Maintenance Type Code (MTC) level on New York Element Requirement Table.



# Element Requirement Table



Six worksheets in Element Requirement Table include:

FROI Element Requirements

FROI Conditions (for MCs)

SROI Element Requirements

SROI Conditions (for MCs)

Event Benefit Segment Requirements

Event Benefit Conditions (for MCs)

Note: NY has added two additional worksheets for informational purposes. They are Sweep Benefit Segment Rules and Benefit Segment Pre-Defined conditions. These are standards as stated in the IAIAIBC Implementation Guide.

# Element Requirement Table- Requirements



Requirement Codes express a jurisdiction's requirements by data element and report type (FROI or SROI MTC's)

Requirement Codes are:

**M(Mandatory), MC (Mandatory/Conditional), IA (If Applicable/Available), NA (Not Applicable), F (Fatal Technical), and X (Exclude)**

**fy** Note: For MTC 02, per the Match Data Rules, only one Match Data element can be changed per transaction. Lower case requirement codes indicate these *Match Data* data elements. Exceptions: First & Last Name can be changed at the same time; and Employee ID Type Qualifier, Employee SSN, and Employee ID Assigned by Jurisdiction can be changed at the same time.

# FROI Element Requirements



## Partial Display of FROI:

REC	DN#	DATA ELEMENT NAME	Format	00	01	02	04	AQ	AU	UR for legacy cases
148	0016	Employer FEIN	9 A/N	MC	MC	fy	MC	MC	MC	MC
148	0021	Employer Physical City	15 A/N	MC	NA	Y	MC	IA	MC	MC
148	0022	Employer Physical State Code	2 A/N	MC	NA	Y	MC	IA	MC	MC
148	0023	Employer Physical Postal Code	9 A/N	MC	NA	Y	MC	IA	MC	MC
148	0025	Industry Code	6 A/N	MC	IA	Y	MC	IA	MC	MC
148	0027	Insured Location Identifier	15 A/N	IA	NA	IA	IA	IA	IA	IA
148	0028	Policy Number Identifier	18 A/N	MC	IA	Y	MC	IA	MC	MC
148	0029	Policy Effective Date	DATE	IA	IA	Y	MC	IA	IA	IA
148	0030	Policy Expiration Date	DATE	IA	IA	Y	MC	IA	IA	IA
148	0031	Date of Injury	DATE	M	M	fy	M	M	M	M
148	0032	Time of Injury	HHMM	IA	NA	IA	IA	IA	IA	IA

M (Mandatory)

MC (Mandatory/Conditional)

IA (If Applicable/Available)

NA (Not Applicable)

F (Fatal Technical)

X (Exclude)

FY (Fatal yes change) **Essential data elements which are necessary for a transmission/ transaction that can be changed on a MTC 02.**

YC: Yes Change Conditional - Data element are expected to be sent on an MTC 02 Change transaction if the data element changes under IAIABC predefined conditions.

Y (Change allowed) **limited to 02 Change**

N (No Change) **limited to 02 Change**

**CANNOT CHANGE RED REQUIREMENTS AS THESE ARE SET BY IAIABC**

**fy** Note: For MTC 02, per the Match Data Rules, only one Match Data element can be changed per transaction. Lower case requirement codes indicate these Match Data data elements. Exceptions: First & Last Name can be changed at the same time; and Employee ID Type Qualifier, Employee SSN, and Employee ID Assigned by Jurisdiction can be changed at the same time.

# FROI Conditional Requirements



## Partial Display of FROI Conditions:

DN#	DATA ELEMENT NAME	BUSINESS CONDITION(S)
0016	Employer FEIN	<p>MTC 04: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08 unless Full Denial Reason code is No Coverage - No policy in effect on the date of accident or No Coverage - No Jurisdiction.</p> <p>MTC 00, 01, AQ, AU, UR: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08.</p>
0017	Insured Name	<p>MTC 04: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08 unless Full Denial Reason code is No Coverage - No policy in effect on the date of accident or No Coverage - No Jurisdiction.</p> <p>MTC 00, AU, UR: Required if Employment Status Code Value = 9 (Volunteer). Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08.</p>
0019	Employer Physical Primary Address	MTC 00, 04, AU, UR: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08.
0021	Employer Physical City	MTC 00, 04, AU, UR: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08
0022	Employer Physical State Code	MTC 00, 04, AU, UR: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08.
0023	Employer Physical Postal Code	MTC 00, 04, AU, UR: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08.

# SROI Element Requirements



## Partial Display of SROI:

REC	DN#	DATA ELEMENT NAME	FORMAT	02	04	AP	CA	CB	CD	EP	ER	IP	PD	PY	RB	RE	S1	S2	S4	S5	S7	SD	SJ	UR for legacy cases	SA Periodic
A49	0055	Employee Number of Dependents	2 N	IA	IA	MC	IA	MC	X	MC	MC	MC	IA	MC	MC	NA	NA	NA	NA	NA	MC	MC	MC	MC	NA
A49	0069	Pre-existing Disability Code	1 A/N	IA	IA	IA	NA	NA	IA	IA	NA	IA	IA	IA	NA	IA	NA								
A49	0056	Initial Date Disability Began	DATE	Y	IA	IA	NA	NA	MC	MC	NA	MC	NA												
A49	0070	Date of Maximum Medical Improvement	DATE	IA	X	IA	IA																		
A49	0072	Latest Return to Work Status Date	DATE	Y	IA	IA	NA	MC	X	IA	IA	IA	IA	IA	IA	X	MC	NA	NA	NA	NA	NA	NA	MC	NA
A49	0057	Employee Date of Death	DATE	Y	MC	MC	NA	NA	MC	MC	NA	MC	MC	MC	NA	X	X	NA	NA	X	NA	NA	NA	MC	NA
A49	0063	Wage Period Code	2 A/N	Y	IA	MC	IA	IA	IA	IA	IA	MC	IA	MC	IA	MC	NA								
A49	0064	Number of Days Worked Per Week	1 N	Y	IA	IA	NA	NA	IA	IA	NA	IA	IA	IA	NA	IA	NA	IA	NA						
A49	0031	Date of Injury	DATE	fy	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
A49	0026	Insured Report Number	25 A/N	NA	NA																				
A49	0015	Claim Administrator Claim Number	25 A/N	fy	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F



**fy Note:** For MTC 02, per the Match Data Rules, only one Match Data element can be changed per transaction. Lower case requirement codes indicate these Match Data data elements. Exceptions: First & Last Name can be changed at the same time; and Employee ID Type Qualifier, Employee SSN, and Employee ID Assigned by Jurisdiction can be changed at the same time.

- M (Mandatory)
- MC (Mandatory/Conditional)
- IA (If Applicable/Available)
- NA (Not Applicable)
- F (Fatal Technical)
- X (Exclude)
- FY (Fatal yes change) **Essential data elements which are necessary for a transmission/ transaction that can be changed on a MTC 02.**
- YC: Yes Change Conditional - Data element are expected to be sent on an MTC 02 Change transaction if the data element changes under IAIABC predefined conditions.
- Y (Change allowed) **limited to 02 Change**
- N (No Change) **limited to 02 Change**

**CANNOT CHANGE RED REQUIREMENTS AS THESE ARE SET BY IAIABC**

# SROI Conditional Requirements



## Partial Display of SROI Conditions:

DN#	DATA ELEMENT NAME	BUSINESS CONDITION(S)
0005	Jurisdiction Case Number 	MTC 04, AP, CD, EP, IP, PD, PY, UR: Required when Maintenance Type Code Date is more than one calendar week after the creation of the acknowledgement file with the FROI, since its acceptance has Jurisdiction Claim Number value to be used on this SROI (and all future SROIs).
0016	Employer FEIN	MTC ALL: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08 unless Full Denial Reason code is No Coverage - No policy in effect on the date of accident or No Coverage - No Jurisdiction.
0042	Employee SSN	MTC ALL: Required if Employee ID Type Qualifier = S (Employee Social Security Number).
0052	Employee Date of Birth	MTC ALL: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08.
0055	Employee Number of Dependents	MTC AP, CB, EP, ER, IP, PY, RB, S7, SD, SJ, UR: Required when a death has occurred and Employee Date of Death is not null.
0056	Initial Date Disability Began	MTC CD, EP, IP, PD, PY, RB, RE, Sx, SD, SJ, UR: Required If the injury which has caused or will cause a loss of time from regular duties of one day beyond the working day or shift on which the accident occurred or death occurs after date of injury.
0057	Employee Date of Death	MTC 04, AP, CD, EP, IP, PD, PY, UR: Required if a death has occurred.
0063	Wage Period Code	MTC AP, IP, PY, UR: Required if Date Claim Administrator had Knowledge of the Injury is on or after 1/1/08 and Average Wage or Concurrent Employer Wage are present. The Wage Period Code for the Concurrent Employer is always equivalent to the Wage Period Code for the primary employer.





# Event Benefit Conditional Requirements



DN#	DATA ELEMENT NAME	BUSINESS CONDITION(S)	TECHNICAL CONDITION(S)
0085	Benefit Type Code	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0086	Benefit Type Amount Paid	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0087	Net Weekly Amount	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0088	Benefit Period Start Date	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0089	Benefit Period Through Date	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0090	Benefit Type Claim Weeks	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0091	Benefit Type Claim Days	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0174	Gross Weekly Amount	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0175	Gross Weekly Amount Effective Date	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present
0192	Benefit Payment Issue Date	Must be present on the Initial Payment of indemnity benefits for the claim. MTC-UR: This field should be populated with the Benefit Payment Issue Date of the first payment made to the claim	Mandatory if Maintenance Type Code (MTC) = AP, IP or PY and Benefit Type Code = 0xx
211	Net Weekly Amount Effective Date	Must be present if there is a Benefit Type Code	Mandatory if Benefit Type Code (DN0085) is present



# Events and Sweeps



- **Event**—this is why you are filing the report (Initial Payments, Return to work, Change)
- **Sweep**—compilation or cumulative list of all payments to date included in addition to the event being reported.
  - A **periodic report** or Sub-Annual (SA) is a cumulative or sweep report.
- A **Sweep** Benefit Segment is sent with any Event Benefit Segment if the *current* Event being reported has a BTC that is *different* from the BTC previously reported. The Sweep is an accumulated report of the previous BTC.

# Sweep Rules



A Sweep Benefit **must** include:

- Benefit Type Code (BTC)
  - Benefit Period Start Date
  - Benefit Period Through Date
  - Benefit Type Claim Weeks
  - Benefit Type Claim Days
  - Benefit Type Amount Paid
- 
- DN0088 Benefit Period Start Date
    - For MTC's (on non-acquired claims) that are *not* starting or reinstating a Benefit Type Code
  - The Benefit Period Start Date is the **earliest** date for that BTC, regardless of whether multiple benefits periods have been paid for that BTC.

A Sweep Benefit Segment does **not** include:

- MTC
- Gross Weekly Amount and Effective Date
  - Net Weekly Amount and Effective Date
  - Benefit Payment Issue Date

# SROI Sweep Example – Part 1



## *Claimant is Classified as PPD*

Employee John Doe remained out of work and was receiving ongoing payments. On **September 12, 2012**, the Claims Administrator is notified by John Doe's doctor that the he is **no longer at a Total Disability** and is now at a **Moderate Temporary Partial Disability as of September 6, 2012**. John Doe's employer cannot accommodate the work restrictions. The Claim Administrator modified the payments to reflect a **Temporary Partial Disability** and **issued a check on September 19, 2012** to the injured employee for the period **September 6, 2012 through September 19, 2012 and continuing**.

The Claim Administrator reported the adjustment in rate based upon the medical report by sending the Change in Benefit Type (**SROI CB**) transaction report to the NYSWCB on **September 19, 2012**.

Employee John Doe, continued to remain out of work. On October 17, 2012 a hearing was held and it was determined by the Workers' Compensation Law Judge that the claimant had a **Permanent Partial Disability** with continuing payments from October 17, 2012. The Claim Administrator reported the payment information to the NYS Workers' Compensation Board by sending **SROI CB** transaction report to the NYSWCB on **October 23, 2012**.

## SEQUENCE OF BUSINESS EVENTS (MTC):

Event 1: FROI MTC 00 – Original First Report

Event 2: SROI MTC IP – Initial Payment

Event 3: SROI MTC CB – Change in Benefit Type

Event 4: SROI MTC CB – Change in Benefit Type

# Sweep reporting within an Event (CB) Example – Part 1



DN	Data Element	Sweep Benefit	Event Benefit	Event Benefit
0085	Benefit Type Code	Temporary Total	Temporary Partial	Permanent Partial Scheduled
0002	Maintenance Type Code	N/A	CB	CB
0174	Gross Weekly Amount	N/A	\$350.00	\$350.00
0175	Gross Weekly Amount Effective Date	N/A	September 6, 2012	October 17, 2012
0087	Net Weekly Amount	N/A	\$350.00	\$350.00
0211	Net Weekly Amount Effective Date	N/A	September 6, 2012	October 17, 2012
0088	Benefit Period Start Date	August 2, 2012	September 6, 2012	October 17, 2012
0089	Benefit Period Through Date	September 5, 2012	October 16, 2012	October 23, 2012
0090	Benefit Type Claim Weeks	5	5	1
0091	Benefit Type Claim Days	0	4	0
0086	Benefit Type Amount Paid	\$3,500.00	\$2,030.00	\$350.00
0192	Benefit Payment Issue Date	N/A	October 23, 2012	October 23, 2012

# SROI Sweep Example – Part 2



*Claimant is Classified as PPD and has another period of Total Disability*

On October 17, 2012 a hearing was held and it was determined by the Workers' Compensation Law Judge that the claimant had a **Permanent Partial Disability** with continuing payments from October 17, 2012. The Claim Administrator reported the payment information to the NYS Workers' Compensation Board by sending **SROI CB** transaction report to the NYSWCB on **October 23, 2012**.

Employee John Doe remained out of work and was receiving ongoing payments. On **December 12, 2012**, the Claims Administrator is notified by John Doe's doctor that the he had an emergency surgery and is now **Temporary Total Disability as of December 12, 2012**. The Claim Administrator modified the payments to reflect a **Temporary Total Disability** and **issued a check on December 19, 2012** to the injured employee for the period **December 12, 2012 through December 19, 2012 and continuing**.

The Claim Administrator reported the adjustment in rate based upon the medical report by sending the Change in Benefit Type (**SROI CB**) transaction report to the NYSWCB on **December 19, 2012**.

## SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC IP – Initial Payment**

**Event 3: SROI MTC CB – Change in Benefit Type**

**Event 4: SROI MTC CB – Change in Benefit Type**

**Event 5: SROI MTC CB – Change in Benefit Type**

# Sweep reporting within an Event (CB) Example – Part 2



DN	Data Element	Sweep Benefit	Event Benefit	Event Benefit
0085	Benefit Type Code	Temporary Partial	Permanent Partial Scheduled	Temporary Total
0002	Maintenance Type Code	NA	CB	CB
0174	Gross Weekly Amount	NA	\$350.00	\$700.00
0175	Gross Weekly Amount Effective Date	NA	October 17, 2012	August 2, 2012
0087	Net Weekly Amount	NA	\$350.00	\$700.00
0211	Net Weekly Amount Effective Date	NA	October 17, 2012	August 2, 2012
0088	Benefit Period Start Date	September 6, 2012	October 17, 2012	December 12, 2012
0089	Benefit Period Through Date	October 16, 2012	December 11, 2012	December 19, 2012
0090	Benefit Type Claim Weeks	5	8	6
0091	Benefit Type Claim Days	4	0	1
0086	Benefit Type Amount Paid	\$2,030.00	\$2,800.00	\$4,340.00
0192	Benefit Payment Issue Date	NA	December 19, 2012	December 19, 2012

# Adjustments, Credits and Redistributions



**DN0092 Benefit Adjustment Code**-a code identifying reductions or increases applied to the Gross Weekly Amount, resulting in a new Net Weekly Amount for a specific benefit type.

A=Apportionment/contribution

B=Subrogation (Third Party Offset)

J=Appeal Adjustment

**DN0126 Benefit Credit Code**-a code identifying a reduction that is applied to the Gross Weekly Amount to yield a new Net Weekly Amount to recoup monies previously paid.

C=Overpayment

P=Advance

**DN0130 Benefit Redistribution Code**-a code indicating that a portion of the Net Weekly Amount is being directed to another party on behalf of the employee or beneficiary, but which does not reduce the Gross Weekly Amount or affect the Net Weekly Amount.

H=Court Ordered Lien

K=Claimant Attorney Fees

# Adjustments, Credits and Redistributions



These codes should be sent with every SROI report when the injured worker is not receiving the full weekly compensation amount due.

The proper code must be reported when it is being applied to the Benefits being reported on the SROI.

Must include:

- ACR Code
- ACR Start Date
- ACR End Date (when applicable)
- Weekly Amount of ACR

# Benefit Redistribution Scenario



## *Child support lien*

Employee John Doe fell from a ladder at the employer's jobsite located at 1234 Broadway, Albany, NY and broke his right leg on **August 1, 2012** at 1:00 p.m. The employee left work immediately after the injury and **has not returned to work.**

A Court-ordered child support in the amount of \$50 per week has been assessed against Mr. Doe's compensation to be paid directly to Mr. Doe's ex-wife.

The Claim Administrator **issued a check on August 15, 2012** to the injured employee, for **Temporary Total Disability Benefits**, for the period **August 2, 2012 through August 15, 2012 and continuing.** The Claim Administrator also issued a check to the ex-wife for the same period's child support.

The Claim Administrator reported the loss and initial payment information to the NYS Workers' Compensation Board by sending both the Original First Report of Injury (**FROI 00**) and Initial Payment (**SROI IP**) transaction reports to the NYSWCB on **August 8, 2012 (FROI)** and **August 15, 2012 (SROI).**

### SEQUENCE OF BUSINESS EVENTS (MTC):

**Event 1: FROI MTC 00 – Original First Report**

**Event 2: SROI MTC IP – Initial Payment with DN0130 Benefit Redistribution code**

# DN Reporting Requirements Specific to New York State



DN	DN Name	NYS Data Requirement
DN0015	Claim Administrator Claim Number	Only the first 20 characters of the Claim Administrator Claim Number - DN0015 will appear in the Carrier Case Number field in eCase. Additional characters beyond the 20th will not be displayed.
DN0017	Insured Name	For Volunteer Firefighter (VF) and Volunteer Ambulance Worker (VAW) claims, use the Insured Name - DN0017 of the Political Subdivision/Fire District (Ambulance Company).
DN0018	Employer Name	Only the first 30 characters of the Employer Name - DN0018 will appear in the Employer Name field in eCase. Additional characters beyond the 30th will be displayed in the 2nd Employer Name field.
DN0038	Accident/Injury Description Narrative	Every site of injury must be specifically detailed in Accident/Injury Description Narrative - DN0038. For extremities left or right must be detailed. Part of Body Injured Code - DN0036 does not provide information regarding more than one site of injury and does not specify left or right for extremities. This information <b>must</b> be provided in Accident/Injury Description Narrative - DN0038.
DN0043	Employee Last Name	Only the first 20 characters of the Employee Last Name - DN0043 will appear in the Claimant Last Name field in eCase. Additional characters beyond the 20th will be displayed in the 2nd Employee Name field.
DN0056	Initial Date Disability Began	"Initial" date values must not ever change unless they were incorrectly reported and are being changed via MTC 02.
DN0058	Employment Status Code	The value of 9 = Volunteer <b>must</b> be used for Volunteer Firefighter (VF) and Volunteer Ambulance Worker (VAW) claims. Use the value of 7 = Other for a per diem worker.
DN0059	Manual Classification Code	The value of 7711 <b>must</b> be used for Volunteer Firefighter (VF) claims and the value of 7730 <b>must</b> be used for Volunteer Ambulance Worker (VAW) claims.
DN0062	Wage	Wage - DN0062 is referenced on paper Form C-2.0 and is the <b>estimate</b> of the Average Weekly Wage provided by the employer. This is the gross wages of the claimant.
DN0065	Initial Date Last Day Worked	"Initial" date values must not ever change unless they were incorrectly reported and are being changed via MTC 02.
DN0068	Initial Return To Work	"Initial" date values must not ever change unless they were incorrectly reported and are being changed via MTC 02.
DN0069	Pre-Existing Disability Code	Pre-Existing Disability Code - DN0069 is referenced on paper Form C-2.0 and is used to indicate that the claimant had a prior injury to the same body part or similar illness while working for the current employer.
DN0072	Latest Return to Work Status Date	"Current" data values must represent a <u>second</u> period of disability. They should be updated each time a new date is applicable to that field.
DN0074	Claim Type Code	Claim Type Code - DN0074 is used to determine the <b>acceptance</b> of a claim. The following values are acceptable when the Claim Administrator is initially reporting a claim: M = Medical Only, I = Lost Time/Indemnity, N = Notification Only Claim Type Code - DN0074 with a value of M = Medical Only or I = Lost Time/Indemnity indicates that the Claim Administrator has <b>accepted</b> the claim. Claim Type Code - DN0074 with a value of N = Notification Only indicates that the Claim Administrator has not yet accepted the claim. The Claim Administrator <b>must</b> follow up with an update to Claim Type Code - DN0074 indicating acceptance of the claim or timely file SROI 04, when the Board has received medical.
DN0075	Agreement to Compensate Code	For payment of benefits under Section 21-a or Section 25-1(f), use Agreement to Compensate Code - DN0075 with a value of W = Without Liability.
DN0085	Benefit Type Code	<ul style="list-style-type: none"> <li>• 030 = PP Scheduled (use for SLU)</li> <li>• 040 = Permanent Partial Unscheduled (use for PPD with CCP)</li> <li>• 070 = Temporary Partial – (RE rate or partial when claimant is not working)</li> <li>• 090 = Permanent Partial Disfigurement (facial)</li> <li>• 5xx = Lump Sums (This is not just for Section 32 payments. This is for any payment that is made in one lump)</li> </ul>

# NY Specific DN Information



## DN0036 – Part of Body Injured Code

- Does not allow for more than one site of injury and or allow for left or right to be specified
- Therefore, this information can be provided in **DN0038** – Accident/Injury Description Narrative

# NY Specific DN Information



## DN0074 - Claim Type Code (FROI and SROI) for Dates of Accident prior to 1/1/19:

- Send “N”=Notification of an Incident only
  - When Claim Administrator is unsure that they will be denying/accepting the claim at the time the FROI is filed
  - When Case is indexed, it must be followed up with an 02-Change or SROI showing:
    1. Send “I”= Indemnity for Lost Time/Indemnity
      - Lost time beyond 7 days for standard workers
      - Any lost time for VF/VAW workers
    2. Send “M”= Medical Only
      - No lost time beyond 7 days for standard workers
      - No lost time for VF/VAW workers
    3. Send “W” = Lost Time with No Paid Indemnity
      - Medical may or may not have been paid but no lost time beyond 7 days for standard workers
      - No lost time for VF/VAW workers
      - Lost time is within the waiting period or exceeds the waiting period and no indemnity paid.

# NY Specific DN Information



## DN0074 - Claim Type Code (FROI and SROI) for Dates of Accident prior to Continued:

- **1/1/19** When Case is indexed, it must be followed up with an 02-Change or SROI showing:
  4. Send "P" = Indemnity with No Lost Time Beyond Waiting Period
    - Section 32, Schedule loss or disfigurement but no loss of time beyond waiting period
  5. Send "B" = Became Medical Only
    - Used to show change in current claim type to Became Medical Only
  6. Send "L" = Became Indemnity for Lost Time
    - Used to show change in current claim type to Became Indemnity for Lost Time

- **DN0062 – Wage (FROI only)**
  - Estimate of the Average Weekly Wage provided by the employer—the gross wages of the claimant
  
- **DN0286 – Average Wage (SROI only)**
  - statutory average weekly wage of claimant calculated using proper multiple in §14, steps on Form C-240, and including wages from concurrent employment as defined by §14-6.

- **DN0134 – Calculated Weekly Compensation Amount** –statutory rate of compensation for claimant; equals 2/3 of Average Wage (DN0286) and subject to the minimum and maximum rates defined by §15-6
- **DN0087 – Net Weekly Amount and DN0211 Net Weekly Amount Effective Date-**
  - amount *after* ACRs are applied
- **DN0174 – Gross Weekly Amount and DN0175 Gross Weekly Amount Effective Date–**
  - amount *before* ACRs are applied

# NY Specific DN Information



## DN0075 – Agreement to Compensate Code – Dates of Accident Prior to 1/1/19:

L – With Liability

W – Without Liability

- For payment of benefits under Section 21-a or Section 25(1)(f), use Agreement to Compensate Code - DN0075 with a value of W = Without Liability for Indemnity cases. Please note that Section 21-a no longer applies once Accident, Notice, and Causal Relation (or Occupational Disease, Notice, and Causal Relation) has been established or 365 days have passed since Benefit Payment Issue Date reported on the SROI-IP.
- Dates of Accident on or after 1/1/19 - Agreement to Compensate Code will replace Claim Type Code as the “acceptance” of a case and used in addition to the payment of benefits under Section 21-a or Section 25(1)(f) as stated above.

# NY Specific DN Information

## DN0198 – Full Denial Reason Codes



### Form C-7 to Full Denial Reason Code mapping

C-7.0 Denial Reason	Full Denial Reason Code – DN0198
Prima facie medical evidence	2D - No medical evidence of injury
Accident within the meaning of WC Law	1D - Does not meet statutory definition of accident
	2C - Stress non-work related
	1C - Willful intent to injure oneself
	1F - Recreational/social activity
Accident arising in the course of employment	1I – Presumption does not apply [new to IAIABC standard in 2013]
Accident arising out of the course of employment	1A - Coming and going
	1E - Deviation from employment
	1B - Horseplay
Occupational disease within the meaning of WC Law	1D - Does not meet statutory definition of accident
Occupational disease arising out of and in the course of employment	1I - Presumption does not apply [new to IAIABC standard in 2013]
Notice (Section 18)	5A - Failure to report accident timely
Notice (Section 45)	5A - Failure to report accident timely
Employer-Employee relationship	3A - No employer/employee relationship
	3B - Independent contractor
	3C - Does not meet statutory definition of employee
	3G - Statutory exemptions
Causally related accident or occupational disease	2E - No injury per statutory definition
Causally related death	Use codes for Causally related accident or OD
Proper employer entity	3A - No employer/employee relationship
Cancellation of coverage	3E - No policy in effect on date of accident
Proper carrier	3E - No policy in effect on date of accident
Subject matter jurisdiction	3D - No jurisdiction
Timely filing (Section 28)	3F - Statute of limitation expired

# NY Specific DN Information

## Denial Reason narrative and Full Denial Reason codes



- Denial Reasons can be further clarified using DN0197 (Denial Reason Narrative).
- Any changes (FROI-02 or SROI-02) to DN0197 (Denial Reason Narrative) or DN0198 (Full Denial Reason Code) requires a paper form to the parties of interest as indicated on the NYS Event Table.

Note: The term accident has been defined by the IAIABC to include Occupational Disease (this will be clarified in IAIABC Glossary in 2013)

- FROI-04 and SROI-04 do not require certification. FROI/SROI denial will be certified at the Pre-Hearing Conference using form OC-400.5.

# NY Specific DN Information

## "Initial" DNs



- **DN0056 Initial Date Disability Began**
- **DN0065 Initial Date Last Day Worked**
- **DN0068 Initial Return To Work**

"Initial" date values must not ever change unless they were incorrectly reported and are being changed via MTC 02.

# NY Specific DN Information

## “Current” DNs



- **DN0072 Latest Return to Work Status Date**
- **DN0144 Current Date Disability Began**
- **DN0145 Current Date Last Day Worked**

“Current” data values must represent a **subsequent** period of disability. They should be updated each time a new date is applicable to that field.

# NY Specific DN Information

## VF/VAW Employment Status and Manual Classification Codes



FROI must include:

- **DN0058** (Employment Status Code) = 9  
(Volunteer)
- **DN0059** (Manual Classification Code) = 7711 (VF)  
or 7370 (VAW)

# NY Specific DN Information

## VF/VAW Political Subdivision or District and Company



FROI-00/04/AU/UR must include the following DN's as mapped to the current Forms VF-2 and VAW-2:

- **DN0016 Employer FEIN** and **DN0018 Employer Name** for Political Subdivision or Fire/Ambulance District
- **DN0017 Insured Name** and **DN0314 Insured FEIN** for Fire/Ambulance Company

1. POLITICAL SUBDIVISION OR AMBULANCE DISTRICT	DN0016, DN0018
2. AMBULANCE COMPANY	DN0017, DN0314

# VF/VAW Accident Premises Code



FROI-00/04/AU/UR must include **DN0249** (Accident Premises Code) as mapped to the current Forms VF-2 and VAW-2:

9. CHECK ONE: <input type="checkbox"/> THE ABOVE-NAMED VOLUNTEER FIREFIGHTER WAS INJURED IN THE LINE OF DUTY WHILE SERVING WITH HIS/HER OWN FIRE COMPANY OR FIRE DEPARTMENT.	<input checked="" type="checkbox"/> THE ABOVE-NAMED VOLUNTEER FIREFIGHTER, MEMBER OF ANOTHER FIRE DEPARTMENT, WAS INJURED IN LINE OF DUTY AFTER HIS/HER SERVICES HAD BEEN ACCEPTED BY THE ABOVE-NAMED FIRE COMPANY OR FIRE DEPARTMENT.
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DN0249

For Volunteer Firefighter (VF) and Volunteer Ambulance Worker (VAW) claims, use the value of **E = Employer** when the claimant was injured working in an official capacity for the volunteer **organization the claimant was a member of**. Use the value of **X = Other** when the claimant was injured working in an official capacity for a volunteer **organization other than the one the claimant was a member of**.

# Edit Matrix Table

- Contains the specific edits applied to reports to determine acceptability by WCB and the standard error messages for those edits when the data is not acceptable
- Contains proper sequence of submissions, acceptable code values, data used for matching to existing claims, and error messages associated with these edits



# Six worksheets in Edit Matrix



- **DN-Error Message** – contains “standard” editing developed for Release 3
- **Value Table** – WCB’s acceptable code values
- **Match Data** – which data elements will be used to determine if the information matches an existing claim or if a new claim must be created
- **Population Restrictions** – WCB restrictions applied to the data element(s)
- **FROI and SROI Sequencing Tables** – how WCB will apply sequencing edits and the order WCB expects specific events to be reported



# DN Error Message for DN0031 Date of Injury



Sorted by Error Message & DN				Jurisdiction will apply edits?	Population Restrictions Indicator												
DN	IAIABC Data Element Name																
0031	Date of Injury	Y	P	L	L	L	L	L	L	L	L	L	L	L	L	L	L

**Edit Matrix Population Legend:**

**F** = Edit applies to the data elements deemed essential for a transmission/transaction to be processed.  
**L** = \*Not grayed out: Edit applies to the data elements based on the requirements indicated on the Element Requirement Table.  
 \*Grayed out: The standard edit will not be applied by the jurisdiction

**Jurisdiction will apply edits?:**

**F** = Essential data element; must be edited for successful transaction processing  
**Y** = Yes - indicates that all edits marked for the data element will be applied; some may be based on conditions defined in the Element Requirement Table  
**N** = No - indicates that none of the standard edits marked for the data elements will be applied

**For Population Restrictions:**

For Data Elements that have certain 'population values' allowed for specific data elements, a "P" is indicated in the 'Population Restrictions Indicator' column and the associated data element population restriction is detailed in the Population Restrictions Table.

Jurisdiction will apply edits?

Population Restrictions Indicator

Mandatory field not present

Must be a valid date (CCYYMMDD)

Must be <= Employee Date of Death

Must be <= Maintenance Type Code Date

Must be <= current date

Invalid data relationship

Must be <= Initial Date Disability Began

Must be <= Current Date Disability Began

Must be >=Employee Date of Hire

Date Must be >= Jurisdiction Implementation Date

Must be valid content

Match data value not consistent with value previously reported

# Value Table



## Partial List of Value Table:

0002	Maintenance Type Code (for SROI)	Y	02	04	AB	AP	CA	CB	CD	CO	EP	ER	FN	IP	P1	P2	P3	P4	P5	P7	P9	PD	PJ	PY
	Maintenance Type Codes (for SROI continued)		RB	RE	S1	S2	S3	S4	S5	S6	S7	S8	S9	SD	SJ	UI	UR	VE	AN	BM	BW	MN	QT	SA
0039	Initial Treatment Code	Y	0	1	2	3	4	5																
0053	Employee Gender Code	Y	F	M	U																			
0054	Employee Marital Status Code	Y	U	M	S	K																		
0058	Employment Status Code	Y	C	9	8	A	B	1	2	3	6	4	5	7	(see hierarchical order in dictionary)									
0063	Wage Period Code (FROI)	Y	01	02	04	06	07																	
0063	Wage Period Code (SROI)	Y	01	04																				
0069	Pre-Existing Disability Code	Y	Y	N	U																			
0073	Claim Status Code	N	O	C	R	X																		
0074	Claim Type Code	Y	M	I	N	B	L	W	P															

- This shows the codes that WCB will accept
- WCB doesn't accept the codes that are grayed out

# Match Data Table



Partial list of the Match Data table:

GROUPING	DN	DATA ELEMENT NAME	New Claims (FROI-00/04/AQ/AU)	Existing Claims (all others)
Claim	0004	Jurisdiction Code		
	0005	Jurisdiction Claim Number	*	P
	0015	Claim Administrator Claim Number	S	S
Claimant	<b>0270</b>	<b>Employee ID</b>	<b>P</b>	<b>S</b>
		▪ Employee SSN – Preferred (DN0042)		
		▪ Employee ID Assigned by Jurisdiction (DN0154)		
	<b>0031</b>	<b>Date of Injury</b>	<b>P</b>	<b>S</b>
	0043	Employee Last Name	S	S
	0044	Employee First Name	S	S
	0052	Employee Date of Birth	S	S
Claim Administrator	<b>0187</b>	<b>Claim Administrator FEIN</b>	<b>P</b>	<b>P</b>
	0014	Claim Administrator Postal Code		
Employer	0026	Insured Report Number		
	<b>0016</b>	<b>Employer FEIN</b>	<b>P</b>	<b>S</b>
	0023	Employer Physical Postal Code		
	0028	Policy Number Identifier		
Insurer	<b>0006</b>	<b>Insurer FEIN</b>	<b>P</b>	<b>P</b>

Purpose of table is match submitted data with WCB system to determine if the information matches an existing claim or if a new claim must be created.

**P** = Primary match fields

**S** = Secondary match fields that are used when there is no match on primary fields

# Populations Restrictions



## Population Restrictions

- Go to the DN Error Message worksheet. If there is a “P” in the Restrictions Indicator column, look at this worksheet to find the corresponding entry.
- Each Restriction contains:
  - DN # and Name
  - Population Restriction
  - Element Error Number
  - Error Message
  - Error Text

# Population Restriction for DN0031 Date of Injury



DN	Data Element Name	Error Message Number	Error Message Text	Population Restriction	Element Error Text
0031	Date of Injury	064	Invalid data relationship	When DN0290 (Type of Loss Code) is 01 (Traumatic Injury), DN0031 (Date of Injury) must be a valid date (using all 8 digits in the format of CCYYMMDD).	must be a valid date when Type of Loss Code is 01
0031	Date of Injury	111	Must be valid content	A) When DN0031 (Date of Injury) has all 8 digits (in the format of CCYYMMDD showing 4 digit year, followed by 2 digit month, and followed by 2 digit day), it must be a valid date.	must be a valid date in the format of CCYYMMDD
0031	Date of Injury	111	Must be valid content	B) When DN0031 (Date of Injury) does not have all 8 digits (in the format CCYYMMDD showing 4 digit year, followed by 2 digit month, and followed by 2 digit day), it must have a year and 2 spaces for the month and/or day when unknown.	must be in the format of CCYYMMDD and have a year
0031	Date of Injury	117	Match data value not consistent with value previously reported	A) If DN0002 (Maintenance Type Code) is not 02, then this value must be the same as what was accepted on last MTC.	can only be changed on 02 (1@time* for Match Data)
0031	Date of Injury	117	Match data value not consistent with value previously reported	B) If DN0002 (Maintenance Type Code) is 02 and is having Error Message 117 occurring on it, then this Error Message 117 also occurs on this DN when its value has changed so it is easy to tell what Match Data Elements have changed.	is a Match Data Element being changed more 1@time*

# FROI Sequencing Table



**FROI and SROI sequencing are listed on separate worksheets**

## Partial list from FROI Sequencing Table:

This **FROI Sequencing Table** provides New York's MTC sequencing for incoming FROIs. It is meant to convey to the trading partner the sequencing rules that clarify how New York will apply Edit 063 - Invalid Event Sequence. **These edits will be applied on a per claim administrator basis for the current reporting responsibility.** See the Notes below this table for clarification on that and the full details of the sequencing edits that will be applied.

If your incoming FROI MTC is:	[Edit #1] Allowed if your last accepted FROI MTC (besides any FROI-02) is listed here: * None means that no FROIs have been accepted from you.	[Edit #2] Allowed if any SROIs have been accepted from you:
FROI-00	None* 01 04	Not applicable
FROI-01	00	No
FROI-02	00 04 AQAU UR	Yes
FROI-04	None*	Not applicable
FROI-AQ	None*	Not applicable
FROI-AU	None*	Not applicable
FROI-UR	None*	Not applicable

### Notes that apply to both FROIs and SROIs:

1. If your incoming FROI/SROI gets rejected due to one the FROI/SROI sequencing edits, make sure to check all Edit 063 (Invalid Event Sequence) returned with it, since in a few situations, there could be multiple.

# SROI Sequencing Table



## Partial list from SROI Sequencing Table:

If your incoming SROI MTC is:	[Edit #1] Allowed if your last accepted FROI MTC (besides any FROI-02) is listed here:	[Edit #2] Can this MTC be your first accepted SROI ?	[Edit #3] Allowed if any of these SROI MTCs have been previously accepted from you:	[Edit #4] Can this SROI MTC be accepted from you multiple times?	[Edit #5] Allowed if your last accepted SROI MTC (besides any SROI-02/CA/PD/PY/SA) is listed here:	[Edit #6] Must there be (or not be) ongoing indemnity payments occurring for this incoming SROI to be accepted?	[Expectation] An accepted SROI with this MTC indicates the following concerning ongoing indemnity payments (which is used for Edit #6 on future incoming SROIs):
SROI-02	00 AQ AU UR	No	Any SROI	Yes	04 AP CB CD EP ER IP RB RE S1 S2 S4 S5 S7 SD SJ UR		Still occurring or not
SROI-04	00 AQ AU UR	Yes		Yes	CD S1 S2 S4 S5 S7 SD SJ UR	Must not be	Still not occurring
SROI-AP	AQ AU	Yes		No	04 CD EP ER S1 S2 S4 S5 S7 SD SJ UR		Starts or continues
SROI-CA	00 AQ AU UR	No	AP IP UR	Yes	AP CB EP ER IP RB RE S1 S2 S4 S5 S7 SD SJ UR		Still occurring or not
SROI-CB	00 AQ AU UR	No	AP IP UR	Yes	AP CB EP ER IP RB RE UR	Must be	Still occurring
SROI-CD	00 AQ AU UR	Yes		Yes	04 S1 S2 S4 S5 S7 SD SJ UR	Must not be	Still not occurring
SROI-EP	00 AQ AU UR	Yes		No	04 AP CB CD IP RB RE S1 S2 S4 S5 S7 SD SJ UR		Starts or continues
SROI-ER	00 AQ AU UR	No	EP	Yes	04 CD S1 S2 S4 S5 S7 SD SJ UR	Must not be	Restarts
SROI-IP	00 UR	Yes		No	04 CD EP ER S1 S2 S4 S5 S7 SD SJ UR		Starts or continues

1. See the "Notes that apply to both FROIs and SROIs" underneath the FROI Sequencing Table.

## Acknowledgment Record

- An acknowledgment is a transaction (automated response) returned by the jurisdiction as a result of an EDI report sent. It contains enough data elements to identify the original report sent and communicates any technical business issues found with the report.

# Acknowledgment



There are two values for an individual transaction that a NYS Trading Partner could receive:

## **TA = Transaction Accepted**

The transaction was accepted by the jurisdiction. No errors were found on the transaction.

## **TR = Transaction Rejected**

A business or technical error was found and the transaction was not accepted by the jurisdiction.

# Acknowledgment



- Submitter is responsible for reviewing all acknowledgment files
- Rejected transactions must be analyzed so that appropriate data can be sent in the next file
  - **Note:** Rejected transactions are not duly filed. A fixed transaction should be resent since only accepted transactions are duly filed.
- Even accepted transactions need to be reviewed so that future transactions use the appropriate WCB# (JCN) on subsequent transactions

# Web Data Entry application search



Skip to Content

New York  State ☰ State Agencies

**Workers' Compensation Board** **FROI/SROI Search**

**Insurer ID: ^**

**Claim Administrator Claim #: ^**

**WCB Case ID (JCN):**

# Web Data Entry application MTC



Skip to Content

New York State State Agencies  Search NY.GOV

**Workers' Compensation Board** **FROI/SROI Search**

**Insurer ID: ^**

**Claim Administrator Claim #: ^**

**WCB Case ID (JCN):**

Search Results						
Recv Dt	Maint Type Code	WCB Proc Dt	Medium	Status	JCN	Claim Admin Claim #
02/01/2012	FROI 00 - Original	02/01/2012	WEB	Accepted	29227271	987987987987

**Maintenance Type Code: ^**

# Web Data entry application

- "\*" indicates a required field
- If required field is not entered, it will highlight
- MC edits will be applied after submission
- Drop downs for codes
- Immediate confirmation will be sent upon submission
- Real time with immediate entry in to eCase if report passes all edits

New York State State Agencies Search NY.GOV

Workers' Compensation Board First Report of Injury

Maintenance Type Code:  
02 - Change

**Claim Administrator**

Claim Number: \* 987987987987 FEIN: ID:

Address

Name:

Information/Attention:

Address:

City: State: Postal Code:

Country Code: Alternate Postal Code:

**Insurer**

FEIN: ID: \* Type Code: Name:

Policy

Number/ID: Effective Date: Expiration Date:

**Employer**

FEIN: Ui Num: Industry Code: Name:

Contact

Name: Bus Phone Num:

Physical Address

Address:

City: State: Postal Code:

Country Code:

Mailing Address

Information/Attention:

Address:

City: State: Postal Code:

Country Code:

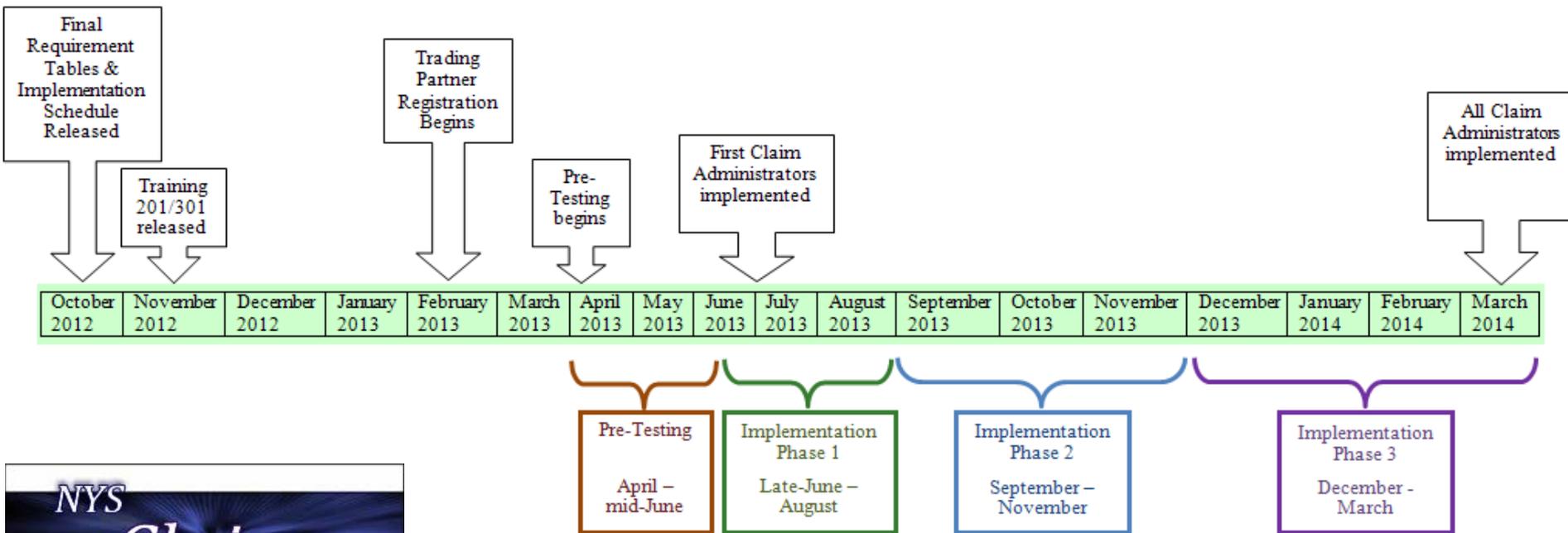
Insured

FEIN: Type Code: Name:

# NY Implementation Timeline



## eClaims Implementation Timeline



# Next Steps for Trading Partners



- Business staff and IT staff work together to determine if you are going to file by flat file or use the Board's web data entry application.
- Understand Mandatory fields on Element Requirement Table and verify that you collect this data. Note: Web data entry application has same edits as flat file.
- Review the eClaims Implementation Schedule to identify your testing/implementation date.
- Review the IAIABC & eClaims Implementation Guide.
- Trading Partners should complete the registration process in February.

# Questions/Comments?



**Contact us**

[eclaims@wcb.ny.gov](mailto:eclaims@wcb.ny.gov)