



Workers' Compensation Board

ANDREW M. CUOMO
Governor

KENNETH J. MUNNELLY
Chair

To: Self-Insurers Providing Benefits Under the Workers' Compensation Law
From: Stephen Tybur
Date: September 2016
Re: 2016 Annual Reporting Requirements

As is the case every year, the New York State Workers' Compensation Board is requesting that every self-insured employer submit the data needed to update the security deposit requirements. In accordance with Section 315.4, Title 12, NYCRR, each self-insurer is required to submit the following reports:

Form SI-4	Statement of Outstanding Death Claims
Form SI-4.1	Statement of Outstanding Disability Claims
Form SI-6	Report of Payroll For All Operations
Form SI-10.1	Report of Cumulative Compensation Payments
Form SI-10.1M	Report of Cumulative Medical Payments
Form SI-21	Certificate of Excess Insurance Contract for Self-Insurer

As you may recall, in 2007, sweeping changes to the Workers' Compensation Law were enacted. These changes to the WCL impacted all carriers, including self-insured employers. Please be aware that for reporting purposes, claims incurred after July 1, 2007 are impacted by the increases to the weekly wage, the dissolution of the 15-8, Special Disability Fund, and the cap on permanent partial disabilities. Claims incurred prior to July 1, 2007 should continue to be reported and reserved in the manner in which they were in previous years.

These reports **must be submitted no later than November 1, 2016**, to the address shown below. The information contained on these reports is reviewed by the Board, summarized, and then input to a system which projects what the security deposit requirements are for every self insurer. Due to the comparative nature of the system used, the security deposit for one self-insurer cannot be updated until the data has been input for all self-insurers. Therefore, extensions for the filing requirements will **only be granted under the most extraordinary of circumstances**. Please refer to the Annual Reporting Requirements – Summary of Reporting Cycle for more information about how these reports will be processed. We have also included an annual reports tip sheet, which may be helpful in preparing your annual reports for submission.

Self-insurers must also submit the most recent certified, independently audited financial statement and a copy of Form 10K. **These financial reports must be submitted no later than three months after the close of the self-insurer's fiscal year.**

Please note that we have also included Form SI-21, Certificate of Excess Insurance Contract for Self-Insurer. We require each self-insurer to annually submit the SI-21, completed by the excess carrier, to the Self-Insurance Office upon the policy's annual renewal date. Also available is Form SI-22, Certificate of Excess Carrier Evidencing Payment of Claims. This form is used to provide the WCB with proof that the excess carrier has or will pay a claim when it reaches the self-insured retention.

Also, we are requesting that your excess carrier include a copy, if available, of the declaration page, or other source, from the policy which denotes the payroll classifications covered in New York State for the said policy.

Finally, we are also requesting that each self-insurer complete the Self-Insurers Annual Update form. This will help insure that the information on file in the Self-Insurance Office is as up to date as possible.

If you have any questions or require any further information regarding the report filing requirements, please feel free to contact the Self-Insurance Office at (518) 402-0247 or e-mail at selfinsurance@wcb.ny.gov. Thank you for your continued cooperation.

All completed reports must be submitted to the following address:

New York State Workers' Compensation Board
Self-Insurance Office
328 State Street, 3rd Floor
Schenectady, NY 12305