

ANNUAL WORKERS' COMPENSATION INFORMATION SYSTEM ADVISORY COMMITTEE MEETING



Oakland: October 19, 2015

Acknowledgments

DIR Staff

- EDI Staff
- Programmers
- Reporting Team

Trading Partners

Today's Discussion Outline

- Reporting to WCIS & Reports back to Claim Administrators
- SROI Completeness, Burden and Complexity
- Highlights of the Proposed FROI/SROI Guide

Timeliness of FROI Reporting

Timeliness: 2014 Statewide FROI

Timeliness of Reporting

	FROIs Reported %
On-Time	83%
Late	17%

Median Days for All Statewide Reported FROIs = 3 Days

Mean (Average) Days for All Statewide Reported FROIs = 10

Aggregate Reports for Timeliness of Reporting and Data on other Items can be found on the WCIS Reports page:

http://www.dir.ca.gov/dwc/wcis/WCIS_Reports.html

Timeliness of FROI Reporting

WCIS sends out a bi-annual report of individualized Timeliness of FROI reporting reports to its Trading Partners. Next Mailing in January 2016.

Part 1. Timeliness of FROI Reporting

Dates Reported to Claim Administrator: Jan 1, 2013 - Jun 25, 2015

Claim Administrator: [REDACTED]

Report Year	Total FROI Reported (a)	Total Valid FROI Reported (b)	Median Days to Report (c)	Average Days to Report (d)	On-time (#) (e)	Late (#) (f)	On-time (%) (g)	Late (%) (h)
2013	29,327	29,327	5	12	19,316	10,011	66%	34%
2014	28,142	28,142	4	9	20,015	8,127	71%	29%
2015	11,288	11,288	4	8	8,473	2,815	75%	25%

Notes:

(a) Total FROI Reported are all FROIs reported to WCIS by Date Reported to Claim Administrator (DN41), including Denials (MTC = 04), Excluding Acquired Claims (MT=AU) .

(b) Total Valid FROI Reported is a count of all FROIs with valid values in both Date Reported to the Claim Administrator (DN41) and Date of Transmission (DN100) to WCIS.

(e) and (g) To be determined as on-time, a FROI must have a Date of Transmission (DN100) within 10 business days after the Date Reported to Claim Administrator (DN41).

Totals and percentages may not always add up due to rounding.

Last sent in July 2015, If you did not received yours, please e-mail us at WCIS@DIR.CA.gov .

WCIS FROI/SROI Reporting Information and Data

The screenshot shows the website for the State of California Department of Industrial Relations, specifically the Division of Workers' Compensation (DWC). The page is titled "Workers' compensation information system (WCIS)" and features a sub-section for "First Reports of Injury (FROI) and Subsequent Reports of Injury (SROI) Data and Reports". A list of links under "FROI and SROI Data and Reports by Topic" includes "Timeliness of FROI Reporting", which is highlighted with a red box. The page also includes a "Quick Links" sidebar with various resources and an "Excel Data Files" section with links to 2013 and 2014 FROI data files.

State of California
Department of Industrial Relations
CA.GOV

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Division of Workers' Compensation (DWC)

Workers' compensation information system (WCIS)

First Reports of Injury (FROI) and Subsequent Reports of Injury (SROI) Data and Reports

Since March 1, 2000, the Workers' Compensation Information System (WCIS) has been collecting First Reports of Injury (FROI) and Subsequent Reports of Injury (SROI) submitted electronically by claims administrators and their trading partners.

The FROIs and SROIs collected by DWC are submitted using the International Association of Industrial Accident Boards and Commissions (IAIABC) FROI/SROI Release 1.0 standard.

FROI and SROI Data and Reports by Topic

- Aggregate FROI and SROI Data
- Workers' Compensation Claims by Injury Type
- Workers' Compensation Claims by Market-Share
- Demographics of Workers' Compensation Claims
- Workers' Compensation Claims by Region, County, and Postal Code
- WCIS FROI and SROI Data Quality
- Timeliness of FROI Reporting**
- Workers' Compensation Claims by Timeliness of Temporary Disability Payments

Excel Data Files

- 2014 FROI Data File - created June 2015
- 2013 FROI Data File - created June 2014

For more information or questions about WCIS FROI/SROI submissions please contact wcis@dir.ca.gov

Division of Workers' Compensation (DWC)

Quick Links

- Online QME Form 106 Panel Request
- Search for a workers' comp case
- Know my rights
- What to do if you get hurt on the job
- Find a fact sheet or I&A guide
- Forms
- Publications
- Reports
- File a complaint
- Pay my bill online

About DWC

- Contact
- Locations

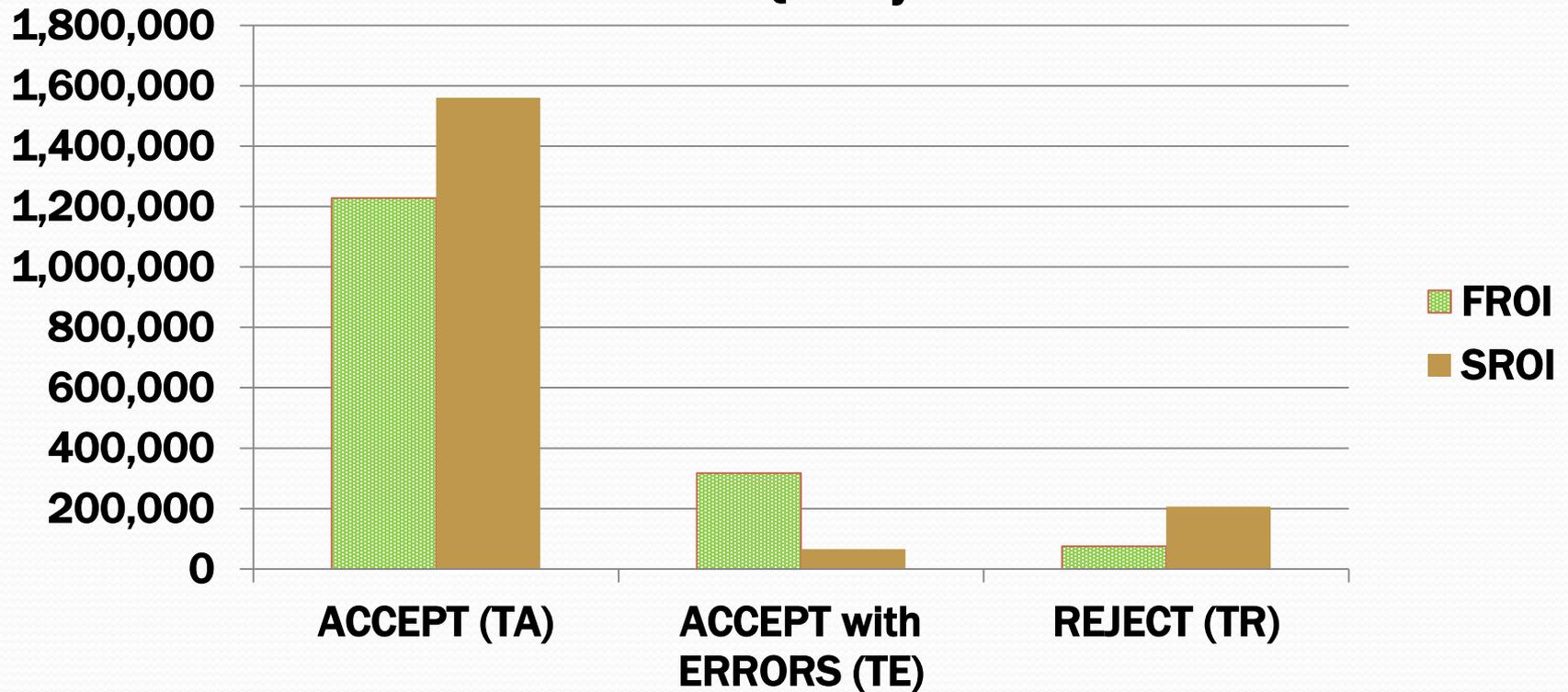
DWC Home

http://www.dir.ca.gov/dwc/wcis/WCIS_Reports.html

Accuracy of FROI-SROI
Reporting:
FROI-SROI Data Quality

3.6 Million FROI/SROI Transactions to date in 2015

2015 Data Quality to Date



10th of Every Month WCIS sends out an Aggregate Data Quality Report to all Claim Admins.

FROI-SROI Data Quality Report Accepted (TA), Accepted with Error (TE), and Rejected (TR) Acknowledgment Records
 FROI-SROI Acknowledgments Processed: Aug 1, 2015 - Aug 31, 2015

CLAIM ADMINISTRATOR NAME: [REDACTED]

INDEX NUMBER	FEIN - NAME	TRANS	MTC	ERROR CODE	ERROR MESSAGE	DN	DN NAME	ACCEPT (TA)	ACCEPT with ERRORS (TE)	REJECT (TR)	TOTAL		
62	[REDACTED]	FROI	00-Original		Create Acknowledgment, No errors		Create Acknowledgment, No errors	1	0	0	1		
				011	Waive Period Code Invalid	63	Waive Period	0	16	0	16		
				014	Class Code (WCIRB) Invalid	59	Class Code	0	4	0	4		
				02-Change		Create Acknowledgment, No errors		Create Acknowledgment, No errors	1	0	0	1	
				04-Denial		Create Acknowledgment, No errors		Create Acknowledgment, No errors	2	0	0	2	
				CO-Correction		Create Acknowledgment, No errors		Create Acknowledgment, No errors	2	0	0	2	
			Subtotal, FROI Acknowledgments							6	20	0	26
		SROI	[REDACTED]		04-Denial	053	No matching FROI (148)	2	Maintenance Type Code	0	0	2	2
					CB-Change in Benefit Type		Create Acknowledgment, No errors		Create Acknowledgment, No errors	4	0	0	4
					CO-Correction		Create Acknowledgment, No errors		Create Acknowledgment, No errors	1	0	0	1
						029	Must be a valid date (CCYYMMDD)	56	Date Disability Began	0	3	0	3
					FN-Final	024	Payment/Adjustment Code Invalid	85	Payment/Adjustment Code	0	0	4	4
					IP-Initial Payment		Create Acknowledgment, No errors		Create Acknowledgment, No errors	2	0	0	2
						029	Must be a valid date (CCYYMMDD)	56	Date Disability Began	0	3	0	3
						063	Invalid event sequence/relationship	2	Maintenance Type Code	0	0	1	1
					P1-Partial Suspension, returned to work		Create Acknowledgment, No errors		Create Acknowledgment, No errors	1	0	0	1
						020	Return to Work Qualifier Code invalid	71	Return to Work Qualifier	0	1	0	1
						029	Must be a valid date (CCYYMMDD)	72	Date of Return/Release to Work	0	1	0	1
						061	Event Criteria not met	2	Maintenance Type Code	0	0	3	3
					P7-Partial Suspension, Benefits Exhausted		Create Acknowledgment, No errors		Create Acknowledgment, No errors	3	0	0	3
Subtotal, SROI Acknowledgments							11	8	10	29			
Total - [REDACTED]		FROI AND SROI Acknowledgments					17	28	10	55			
Grand Total - [REDACTED]							17	28	10	55			

For all The Claim Admins Who Sign-up... A TE and TR Listing as well

TRANS	ACK REC ID	JCN	CLAIM ADMIN CLAIM NUM	MTC	MTC DATE	DATE TIME PROCESSED	APP ACK CODE	ERROR CODE	MESSAGE	DN	DN NAME
FROI	ACKID ###	2015#####		100	Jul 28, 2015 12:00:00 AM	Aug 3, 2015 4:37:21 PM	TE	011	Wage Period Code Invalid	63	Wage Period
	ACKID ###	2015#####		900	Aug 6, 2015 12:00:00 AM	Aug 10, 2015 1:24:14 PM	TE	014	Class Code (WCIRB) Invalid	59	Class Code
SROI	ACKID ###	2015#####		21 FN	Oct 24, 2012 12:00:00 AM	Aug 3, 2015 6:54:31 PM	TR	024	Payment/Adjustment Code Invalid	85	Payment/Adjustment Code
	ACKID ###	2015#####		25 P1	Dec 15, 2011 12:00:00 AM	Aug 10, 2015 4:04:47 PM	TR	061	Event Criteria not met	2	Maintenance Type Code
	ACKID ###	2015#####		26 P1	Nov 8, 2012 12:00:00 AM	Aug 10, 2015 4:04:47 PM	TR	061	Event Criteria not met	2	Maintenance Type Code
	ACKID ###	2015#####		33 IP	Apr 9, 2015 12:00:00 AM	Aug 3, 2015 6:54:30 PM	TE	029	Must be a valid date (CCYYMMDD)	56	Date Disability Began
	ACKID ###	2015#####		36 IP	Jul 16, 2015 12:00:00 AM	Aug 3, 2015 6:54:30 PM	TE	029	Must be a valid date (CCYYMMDD)	56	Date Disability Began

*Trading Partners must sign at WCIS@DIR.CA.GOV to receive the Monthly lists of Data Quality Errors

If you see TEs and TRs take the following Steps

Sign-up to get the detailed listing of TR and TE transactions.

Check your Mapping and Validation Tables

- Download from <http://www.dir.ca.gov/dwc/WCIS.htm>
 - FROI and SROI Valid Values Table (Release 1, Version 3.0)
 - 2013 - 2015 WCIRB Class Codes (DN 59)

Make sure you have an established Correction (CO) process.

Read the Guides, FAQs, and other available resources

Contact your EDI Trading Partner Contact or WCIS@DIR.CA.GOV

Contact Us for Consultations

Upcoming Refinements to Data Quality Reports

- Improvements on the Aggregate Data Quality Report and
 - Benchmarking. What would that look like? How would Trading Partners like to be compared, if at all, to other Trading Partners?
 - Narrow to only what still needs correction.
 - Develop Sender –Specific Data Quality Reports
 - Other Trading Partner Suggested Improvements
- The Data Quality TR/TE Claim list*
 - Add a Bad Data Column
 - Narrow to only what hasn't been corrected.
 - Other Trading Partner Suggested Improvements

*Remember a claim administrator can only get the list if, they sign up for it at WCIS@DIR.CA.GOV

Statewide Data Quality Reports available

The screenshot shows the website for the State of California Department of Industrial Relations. The header includes the CA.GOV logo, the department name, and navigation links for Press Room, Contact DIR, and CA.gov. A search bar is present with options for 'This Site' and 'California'. The main navigation menu includes Home, Labor Law, Cal/OSHA - Safety & Health, Workers' Comp, Self Insurance, Apprenticeship, Director's Office, and Boards.

The page content is for the Division of Workers' Compensation (DWC). The main heading is 'Workers' compensation information system (WCIS)'. Below this is a sub-heading 'FROI and SROI Data Quality'. The text explains that the WCIS collects First Reports of Injury (FROI) and Subsequent Reports of Injury (SROI) and provides information on the data quality of these transactions, including a list of acknowledgment codes: TA (Transaction Accepted), TE (Transaction Accepted with Error), and TR (Transaction Rejected).

On the right side of the page, there is a 'Quick Links' section with the following items:

- Online QME Form 106 Panel Request
- Search for a workers' comp case
- Know my rights
- What to do if you get hurt on the job
- Find a fact sheet or I&A guide
- Forms
- Publications
- Reports
- File a complaint
- Pay my bill online

Below the Quick Links is an 'About DWC' section with the following items:

- Contact
- Locations

Top 10 Lists of Rejection and Error Types

FROI DNs and Error Messages (TRs)	FROI DNs and Error Messages (TEs)	SROI DNs and Error Messages (TRs)	SROI DNs and Error Messages (TEs)	
2014 Top 10 SROI DNs and Error Messages (TEs)				
DN	DN NAME	ERROR	MESSAGE	ACCEPT with ERRORS (TE) (#)
78	Number of Permanent Impairments	062	Required segment not present	43,129
56	Date Disability Began	029	Must be a valid date (CCYYMMDD)	24,841
72	Date of Return/Release to Work	029	Must be a valid date (CCYYMMDD)	7,705
70	Date of Maximum Medical Improvement	035	Must be >= Date Disability Began	5,725
71	Return to Work Qualifier	020	Return to Work Qualifier Code invalid	2,561
62	Wage	028	Must be numeric (0-9)	2,289
56	Date Disability Began	037	Must be <= Maintenance Type Code date	1,829
63	Wage Period	011	Wage Period Code Invalid	1,444
83	Permanent Impairment Body Part Code	007	WCIO Part of Body Code Invalid	1,028
70	Date of Maximum Medical Improvement	034	Must be >= Date of Injury	469

WCIS Data as of June 8, 2015

Completeness of FROI-SROI Reporting

Completeness of FROI-SROI Reporting

Compare the Expected FROIs-SROIs versus Observed(reported) FROIs-SROIs

DWC uses the Audit Unit's Annual Report of Inventory (ARI) as its expected FROIs-SROIs.

The ARI and WCIS share the following comparable categories:

- **FROIs**
- **SROIs (Medical and Paid Indemnity)**
- **Medical Claims**
- **Paid Indemnity Claims**
- **Denied Claims**

In each one of these categories, the number of claims reported on the ARI should approximate the number of claims reported to WCIS.

Completeness: 2013 ARI-WCIS Comparison

	ARI (Expected)	WCIS (Observed/Reported)	Proportion of Expected- Observed
FROIs*	596,124	551,596	.93
SROIs (Medical + Paid Indemnity)	446,436	290,649	.65
<i>Medical Only**</i>	<i>315,856</i>	<i>179,158</i>	<i>.57</i>
<i>Paid Indemnity**</i>	<i>130,580</i>	<i>111,491</i>	<i>.85</i>
Denials	79,283	60,248	.76

* The estimated FROI undercount in WCIS according to the 2013 ARI-WCIS Comparison is 7%.

** WCIS uses the totals of medical only and indemnity claims to measure SROI completeness, but does not use the percentages to measure completeness.

Current Reports Recap

- Timeliness of FROI Reporting-Sent Semi-Annually
- Aggregate Data Quality Report to Claim Administrator-Sent Monthly
- TR and TE listing- Monthly upon request.
- ARI-WCIS Comparison Report-Sent Annually.

All available by signing-up at WCIS@DIR.CA.GOV

Reports Under Development

A Second Attempt at FROI/SROI Completeness

FROI/SROI Completeness sometimes results from a lack of timeliness of information for the claim administrator.

FROI/SROI Completeness is difficult to measure on its own, and in a timely manner.

The ARI-WCIS comparison report while useful can be more than 20 months after the data was reported.

FROI-SROI Inventory:

One More Report Sent before AN is due

State of California, Department of Industrial Relations
 Division of Workers' Compensation
 Workers' Compensation Information System (WCIS)

WCIS Claims by Index Name, Index Number, FEIN, Claim Administrator Name, JCN, Claim Number, DOI, Date Reported to Claim Admin, First Transmission Date, and SROI Status

Claim Administrator Index Name: City of California

Claim Administrator Index Number: 588

Date Reported to Claim Administrator: Jan 1, 2015 to December 31, 2015

SROI Status Category: ALL

Count of Records: 2,899

ROW NUMBER	SROI STATUS	CLAIM STATUS CODE	FEIN	FEIN CLAIM ADMINISTRATOR NAME	JCN	CLAIM NUMBER	DATE OF INJURY	DATE REPORTED TO CLAIM ADMIN	FIRST TRANSMISSION DATE
1	DENIALS	CLOSED	123456789	City of California	2015111111	151	10/29/2013	01/08/2015	01/20/2015
2	INDEM	OPEN	123456789	City of California	2015111112	152	12/22/2014	01/02/2015	01/20/2015
3	OTHERS		123456789	City of California	2015111113	153	02/28/2014	01/07/2015	01/20/2015
4	OTHERS		123456789	City of California	2015111114	154	12/09/2014	01/07/2015	01/20/2015
5	OTHERS		123456789	City of California	2015111115	155	12/17/2014	01/05/2015	01/20/2015
6	OTHERS		123456789	City of California	2015111116	156	01/06/2015	01/08/2015	01/20/2015
7	OTHERS		123456789	City of California	2015111117	157	12/29/2014	01/07/2015	01/20/2015
8	OTHERS		123456789	City of California	2015111118	158	01/03/2015	01/07/2015	01/20/2015
9	OTHERS		123456789	City of California	2015111119	159	01/03/2015	01/06/2015	01/20/2015
10	OTHERS		123456789	City of California	2015111120	160	12/16/2014	01/02/2015	01/20/2015
11	OTHERS		123456789	City of California	2015111121	161	01/02/2015	01/06/2015	01/20/2015
12	OTHERS		123456789	City of California	2015111122	162	01/02/2015	01/08/2015	01/20/2015
13	INDEM	OPEN	123456789	City of California	2015111123	163	12/24/2014	01/05/2015	01/20/2015
14	OTHERS		123456789	City of California	2015111124	164	06/15/2014	01/05/2015	01/20/2015
15	OTHERS		123456789	City of California	2015111125	165	01/05/2015	01/08/2015	01/20/2015
16	INDEM	OPEN	123456789	City of California	2015111126	166	01/07/2015	01/09/2015	01/20/2015
17	OTHERS		123456789	City of California	2015111127	167	12/11/2014	01/07/2015	01/20/2015
18	OTHERS		123456789	City of California	2015111128	168	12/12/2014	01/08/2015	01/20/2015
19	OTHERS		123456789	City of California	2015111129	169	12/10/2014	01/09/2015	01/20/2015
20	DENIALS		123456789	City of California	2015111130	170	01/04/2015	01/06/2015	01/20/2015
21	INDEM	OPEN	123456789	City of California	2015111131	171	12/10/2014	01/08/2015	01/20/2015
22	DENIALS		123456789	City of California	2015111132	172	12/26/2014	01/08/2015	01/20/2015
23	OTHERS		123456789	City of California	2015111133	173	10/29/2014	01/08/2015	01/20/2015
24	OTHERS	CLOSED	123456789	City of California	2015111134	174	01/08/2015	01/08/2015	01/20/2015

- To be sent end of year, to help claims administrators send in a complete list of ANs.
 - Claim Status for every claim sent (Open or Closed) .
 - SROI Status (Indemnity, Medical Only, Other or Denial)
 - Sign up for it at WCIS@DIR.CA.gov

SROI Validation Inquiries

SROI Validation inquiries being developed

- Feedback is crucial on questions about SROI Data.
- Particularly on Fatalities
- SROI Benefit Amounts for All Claims when we see outliers.
- SROI Dates
- SROI Open claims

As WCIS develops the reports responses are crucial, so is feedback as to what is most useful to trading partners.

SROI Completeness, Burden and Complexity

SROI Completeness Issues

Two SROI completeness Issues

- Self-insured and self-administered trading partners (Public and Private) struggle to report when compared to large multistate carriers.
- Complexity/Burden causing incompleteness issues for all senders

SROI Completeness Outreach

- Since 2014, WCIS has been reaching out to close the experience gap:
 - Providing One-on-One Consultation and Support for FROI/SROI transmissions to:
 - Public Self-Insured/Self-Administered Agencies
 - Self-Insured and Self-Administered
 - Self-Insured/Self-Administer Trading Partners who stick with us and commit through the consultation process can be reporting successfully within 2-3 months.
- Sign-up for consultation WCIS@DIR.CA.gov

The Reporting Burden and Complexity

Reporting Burden and Complexity

- Reducing what we can on both without jeopardizing the current system is a priority of this administration.
- Reducing complexity or burden cannot be done if it
 - results in unmanageable uncertainty about a claim
 - results in substantively less complete knowledge of the benefits on a claim
- Solutions that appear to reduce complexity should not unnecessarily increase the reporting burden.
- Solutions need to be tested before they can be implemented.

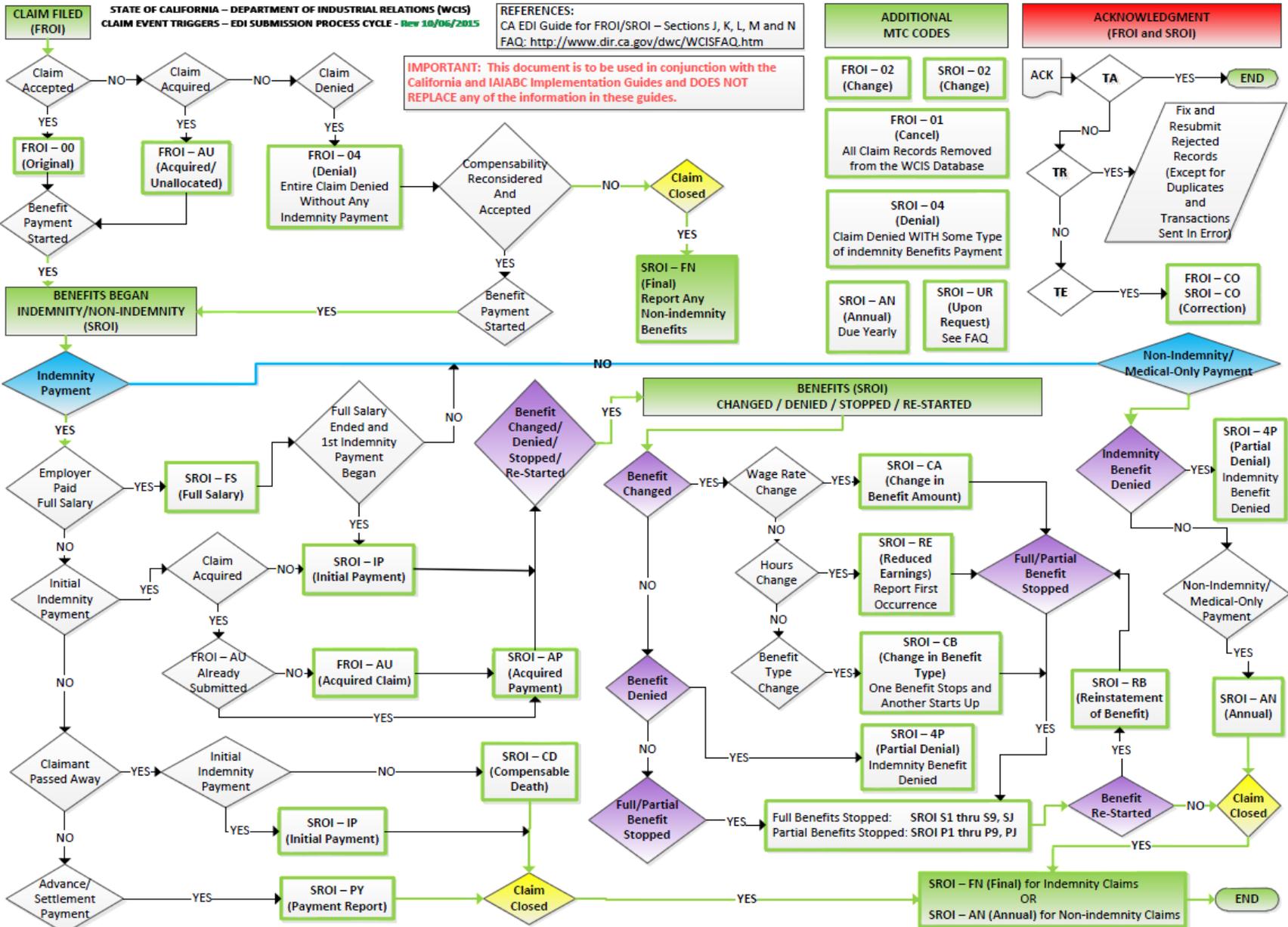
Current SROI Burden

2014 Claims to date

- 2.4 SROI transactions/ claim

Includes:

- First payments (IPs, etc.)
- Adjustments (CB,CA, S₁, etc.)
- Annuals (ANs),
- and Finals (FNs).



* This Workflow Diagram covers a majority of Scenarios, but due to space limitations does not cover 100% of the scenarios in FROI/SROI

Stacking of SROI Transactions

Stacking of transactions to report benefit changes.

Caused by: Claims Events occurring at a faster rate than Transactions Processing and Sequencing.

Stacking causes the total time spent on a claim by a claims administrator to unnecessarily increase.

Suggestions for altering the sequencing rules in order to speed up transaction processing?

Proposed FROI/SROI Guide Update Highlights

Proposed FROI/SROI Guide

- Proposed guide much like what was posted on Forum on July 20, 2015.

<http://www.dir.ca.gov/dwc/ForumDocs/WCIS/WCIS.htm>

- First proposed guide since last went live 2012.
- All substantive changes are outlined:
 - Appendix A: Differences Between Version 3.0 and Version 3.1 of WCIS
 - Appendix B: Revision History – Summary of Principal Changes from Previous Versions

Changes to how FROI/SROI Receives Data

SFTP Transmission and Account

- Will no longer allow FTPS, or FTP over SSL. Will only allow SFTP known as SSH (Secure Shell).
- More direct account management by WCIS

New File Naming Convention.

- FROI/SROI Naming Convention will match medical billing naming convention

Control over JCN

For better management of JCNs and avoidance of duplicate claims, WCIS proposes:

- Make JCN Mandatory on all FROI non-original transactions and all SROI
- Establish new match criteria.
 - Current Criteria uses the same secondary match attempt on all FROI transactions.
 - This criteria relies on easily inconsistent data elements like part of body and nature of injury for all different types of transactions

Proposed New Matching

- Uses a set of common more static elements:
 - Data elements (JCN, Insurer FEIN, Claim Admin FEIN, Claim Admin Claim Number, DOI, DOB, Employee First Name, Employer FEIN, TOI).
- Tailored specifically to each transmission type:
 - The 00, the 01, the 04, and CO/02 have their own matching criteria
 - All SROIs have the same matching criteria

Other Highlights

Proposed Changes

Time of Injury
and Initial Treatment Code now required

All Industry Codes must be NAICS

Claim Administrator FEIN now required on all transactions.

Corrections must be sent in 30 days.

Resources and Contacts

Available Resources

- Code Lists
- One-on-One Consultations with DIR available
 - Contact your designated EDI contact or WCIS@DIR.CA.GOV
 - Up to Trading Partner if they want to loop in their vendor
- Website FAQ
- Guides

EDI Contacts

- Johnny Lee
email: jblee@dir.ca.gov
Trading partner letters A, I-L, S-V, Z
- Elisema Cantu
email: ecantu@dir.ca.gov
Trading partner letters B, D-F, N, O, W-Y
- Elaine Ng
email: Eng@dir.ca.gov
Trading partner letters C, G, H, M, P-R

Questions?