



**California First Reports of Injury and Subsequent Reports of Injury
(FROI/SROI) Version 3.1
Training and Update Overview**

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CALIFORNIA FROI-SROI BASICS

Claims Administrators are required to submit First Reports of Injury (FROI) and Subsequent Reports of Injury (SROI) electronically for every California workers' compensation claim.

FROI REPORTABLE CLAIMS DEFINED IN WCIS (LABOR CODE SECTION 9701)

Any Injury, occurring on or after *March 1, 2000* that has resulted in the claims administrator receipt of the following:

- 1) Employer's First Report of Injury or Illness
- 2) Doctor's First Report of Injury or Illness
- 3) Application for Adjudication filed before WCAB
- 4) Any information that an injury required medical treatment by a physician.

FROI/SROI REPORTING RULES ARE GOVERNED BY

California Labor Code sections 9701 and 9702



**International Association of Industrial Accident Boards and
Commissions (IAIABC) Release 1 Guide**



California-Specific FROI/SROI Implementation Guide, Version 3.0

KEY UPDATE

March 27, 2018, is the implementation date for changes to California Labor Code sections 9701, 9702 and the FROI/SROI guide.

Version 3.1 of the guide is available at <http://www.dir.ca.gov/dwc/WCIS.htm>

THIS WEBINAR WILL COVER THE BASICS OF THE UPDATE

- Account Set Up and Management
- New File Naming Convention
- Event Rule Changes
- New Matching Criteria
- FROI Submission Rules
- SROI Submission Rules
- SROI Sequencing Changes

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ACCOUNT SET UP AND MANAGEMENT CHANGES



NEW SFTP ACCOUNTS REQUIRED FOR ALL FROI/SROI TRADING PARTNERS

New SFTP accounts, user names and passwords will be created by WCIS for each trading partner.

MOST IMPORTANT TASK FOR CLAIMS ADMINISTRATORS TO COMPLETE PRIOR TO MARCH 27, 2018

Set up a FROI/SROI Version 3.1 Account by Sending in the version 3.1 [Trading Partner Profile](#).

WCIS uses this account info to set up Claims Administrator/Sender SFTP access.

Without one on March 27, Claims Administrators/Senders will not be able to send any files.

 State of California
Department of Industrial Relations
DIVISION OF WORKERS' COMPENSATION

FROI/SROI
ELECTRONIC DATA INTERCHANGE TRADING PARTNER PROFILE

The EDI Trading Partner Profile is available online at: <http://www.dir.ca.gov/DWC/WCIS.htm>.

PART A. Trading Partner Background Information:

Date: _____

Sender Name: _____

Sender's Master FEIN: _____

Physical Address: _____
City: _____ State: _____
Postal Code (Zip+4): _____ (Sender's postal code)

Mailing Address: _____
City: _____ State: _____
Postal Code: _____

Trading Partner Type (check any that apply):

Self-Administered Insurer
 Self-Administered, Self-Insured (employer)
 Third Party Administrator of Insurer
 Third Party Administrator of Self-Insured (employer)

ADDITIONAL INFORMATION ON SFTP AND NEW ACCOUNTS

- WCIS will no longer allow data transfer using FTPS, or FTP over SSL. Only SFTP known as SSH (Secure Shell) FTP will be allowed.
- The suffix of the username for the SFTP account will now be - WCIS_FS. (@wcis_FS is a typo in the guide).
- WCIS is limiting the number of network IP addresses that are allowed to connect to the WCIS SFTP server to five per trading partner

A decorative graphic on the left side of the slide, consisting of white lines and circles on a blue background, resembling a circuit board or data flow diagram. The lines are vertical and horizontal, with some diagonal connections, and the circles are of varying sizes, some acting as nodes or endpoints.

NEW FILE NAMING CONVENTION CHANGES

MOST IMPORTANT TECHNICAL (IT) REQUIREMENT TO MEET BY MARCH 27, 2018

File Naming Conventions should be checked/tested

Without an accurate file name a Claims Administrators/Senders files will not be picked up and processed by WCIS.

Sample FROI name:

148_123456789_946125698_20140113_135012_T_001.txt

8 Components to File Name

FILE TYPE (148,A49, AK1), followed by underscore

Sender's nine-digit FEIN, followed by underscore

Sender's nine-digit Zip Code, followed by underscore

Eight-digit date stamp, formatted as (CCYYMMDD), followed by underscore

Six-digit time stamp, formatted as (HHMMSS), followed by underscore

T (Testing) or P (Production), followed by underscore

Unique 3 digit (148 or A49) counter or nine-digit counter for (AK1) files, followed by underscore

Followed by .txt

A decorative graphic on the left side of the slide, consisting of a network of white lines and circles on a blue background, resembling a circuit board or data flow diagram. The lines are vertical and horizontal, with some diagonal connections, and the circles are of varying sizes, some acting as nodes or endpoints.

EVENT RULE CHANGES

CHANGES IN TRANSACTION ACCEPTED WITH ERRORS (TES)

For FROI and SROI Corrections ($MTC = CO$) are now due for errors or missing data within 60 calendar days of the TE acknowledgment.

The background is a blue gradient, transitioning from a lighter blue at the top to a darker blue at the bottom. On the left side, there is a white, stylized circuit board pattern consisting of vertical lines, horizontal lines, and small circles representing components or nodes.

NEW MATCHING CRITERIA

MATCHING ALGORITHMS, VERSION 3.1

New Matching Criteria highlights.

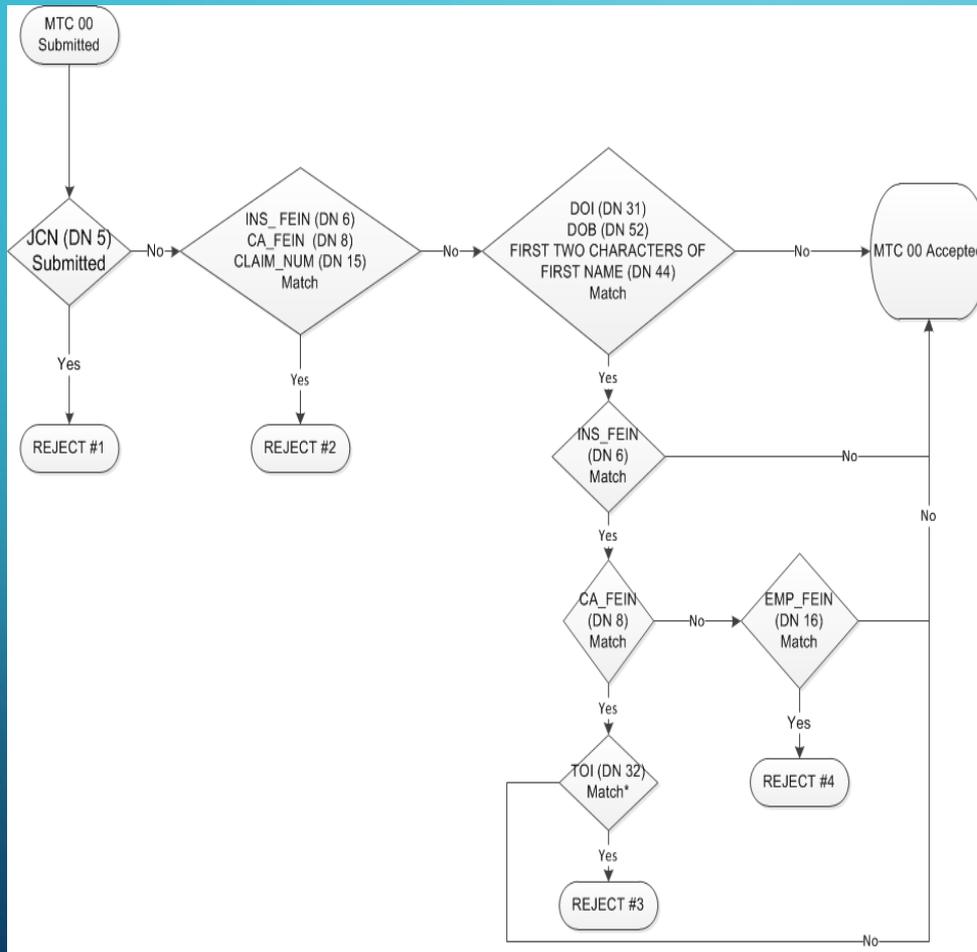
- Unique algorithms for each FROI transaction.
- One algorithm for all SROIs transactions.
- Each algorithm uses different combinations of data elements for either accepting or rejecting transaction, or assigning a new a JCN.

THE DATA ELEMENTS USED IN NEW MATCHING PROCESS

FROI/SROI uses the following key data elements to match and search for duplicate claims within the WCIS database:

- Jurisdiction Claim Number (JCN) (DN 5)
- Insurer FEIN (INS_FEIN) (DN 6)
- Claim Administrator FEIN (CA_FEIN) (DN 8)
- Claim Administrator Claim Number (CLAIM_NUM) (DN 15)
- Date of Injury (DOI) (DN 31)
- Employee Date of Birth (DOB) (DN 52)
- First two characters of the Employee First Name (DN 44)
- Employer FEIN (EMP_FEIN) (DN 16)
- Time of Injury (TOI) (DN 32). Required for Dates of Injury after Implementation of FROI/SROI Release 1 Version 3.1, where a Nature of Injury Code (DN 35) is not between 60 and 80, and the claim is not previously acquired.

FROI MATCHING ALGORITHM FOR ORIGINAL (00) MTC



Reject Reasons:

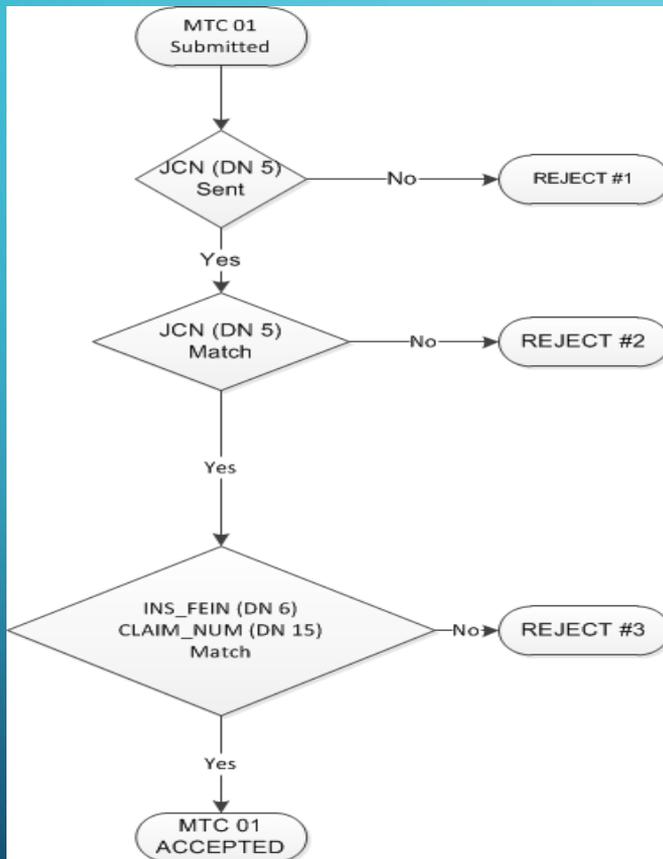
Reject #1 JCN not allowed on '00'.
Error Code 061 Event Criteria Not Met.

Reject #2 Duplicate FROI found.
Error Code 048 Duplicate First Report (148).

Reject #3 Duplicate injury or claim found.
Error Code 048 Duplicate First Report (148).

Reject #4 Transaction must be submitted as an AU.
Error Code 048 Duplicate First Report (148).

MATCHING ALGORITHM FOR CANCEL (01)



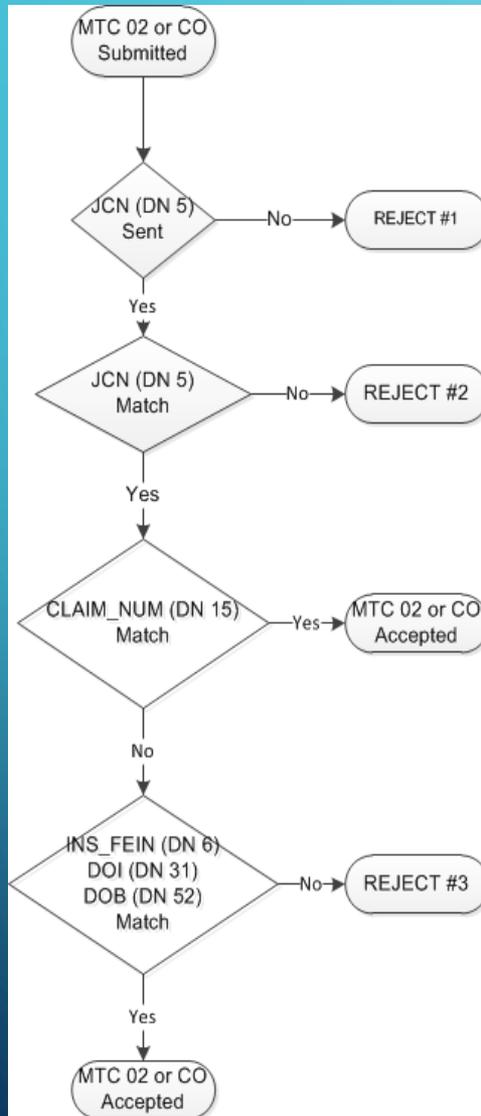
Reject Reasons:

Reject #1 JCN is mandatory.
Error Code 001 Mandatory Field Not Present.

Reject #2 JCN must match existing JCN.
Error Code 039 No Match on Database.

Reject #3 Claim information does not match a claim in the database.
Error Code 039 No Match on Database.

MATCHING ALGORITHM FOR CHANGE (O2) OR CORRECTION (CO)



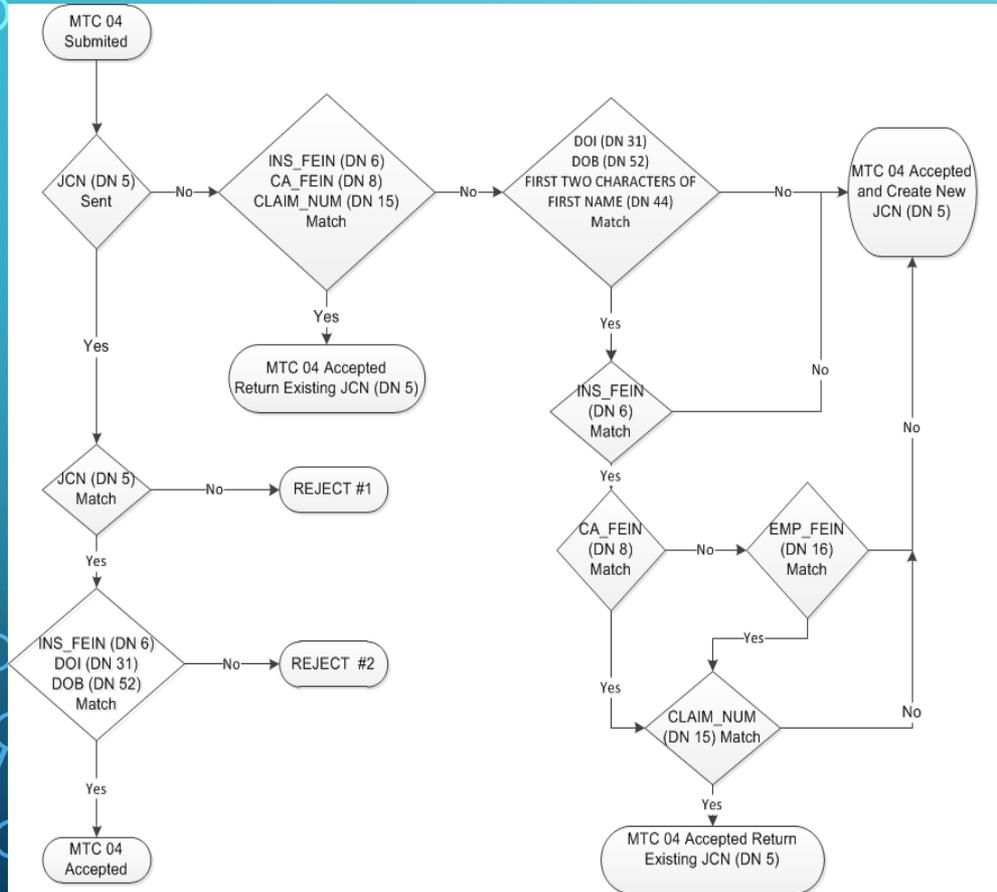
Reject Reasons:

Reject #1 JCN is mandatory. *Error Code 001 Mandatory Field Not Present.*

Reject #2 JCN must match existing JCN. *Error Code 039 No Match on Database.*

Reject #3 Claim information does not match a claim in the database. *Error Code 039 No Match on Database.*

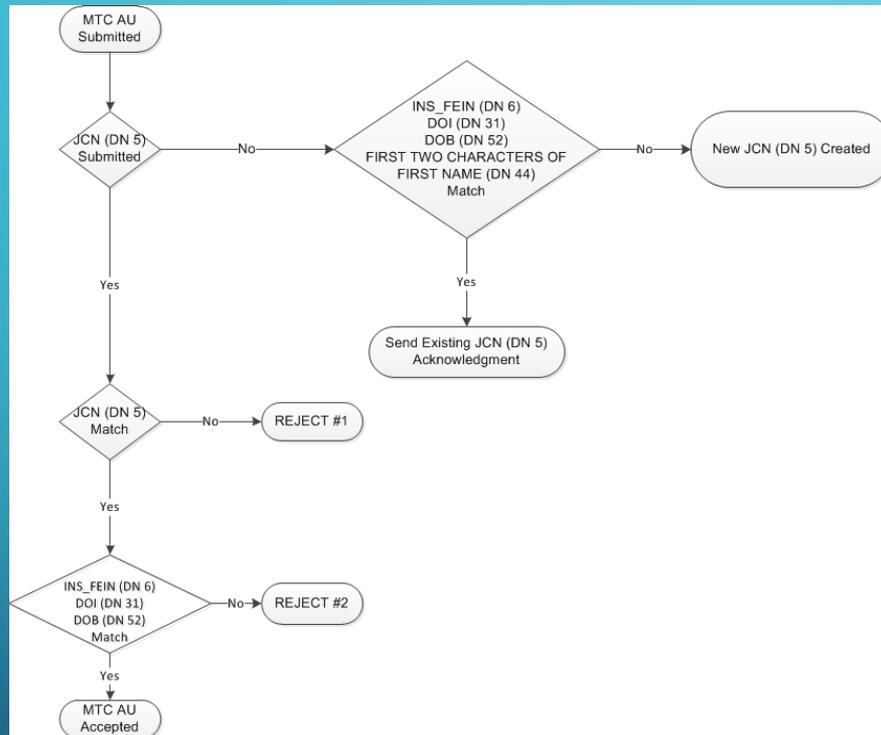
FROI MATCHING PROCESS FOR DENIAL '04' MTC



Reject #1 JCN must match existing JCN. *Error Code 039 No Match on Database.*

Reject #2 Claim information does not match a claim in the database. *Error Code 039 No Match on Database.*

FROI MATCHING PROCESS FOR ACQUIRED CLAIM 'AU' MTC

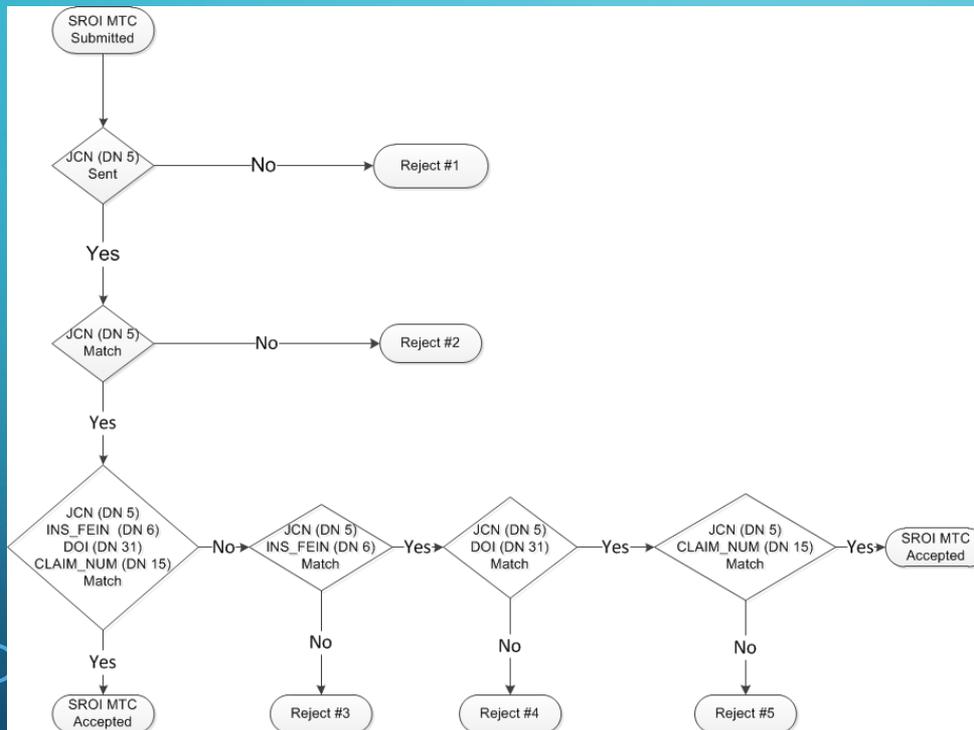


Reject Reasons:

Reject #1 JCN must match existing JCN.
Error Code Error Code 039 No Match on Database.

Reject #2 Claim information does not match a claim in the database.
Error Code 039 No Match on Database.

SROI MATCHING PROCESS FOR ALL SROI MTCs



Reject Reasons:

Reject #1 JCN is mandatory. Error Code 001 Mandatory Field Not Present.

Reject #2 JCN must match existing JCN. Error Code 039 No Match on Database.

Reject #3 JCN and Insurer FEIN do not match database. Error Code 039 No Match on Database.

Reject #4 JCN and DOI do not match database. Error Code 039 No Match on Database.

Reject #5 JCN and Claim do not match database. Error Code 039 No Match on Database.



FROI SUBMISSION CHANGES

NAME CHANGE OF TWO ELEMENTS

Third Party Administrator FEIN (DN 8) is now Claims Administrator FEIN

Third Party Administrator Name (DN 9) is now Claim Administrator NAME (DN 9).

CLAIM ADMINISTRATOR NAME IS NOW MANDATORY ON ALMOST EVERY FROI/SROI

The Claim Administrator Name (DN 9) is now mandatory on all FROIs except the Cancel (MTC=01)

CLAIM ADMINISTRATOR CLAIM NUMBER IS NOW REQUIRED ON EVERY FROI/SROI

Claim Administrator Claim Number (DN 25) is now required on the FROI Cancel (MTC = 01).

JCN IS NOW REQUIRED ON ALMOST EVERY FROI/SROI

The Jurisdiction Claim Number (JCN) (DN 5) is now required on all transactions that do not begin a claim in WCIS. This includes all SROIs. The JCN is not required on FROI 00, AU, or 04.

FEINS ARE NOW REQUIRED ON ALMOST EVERY FROI/SROI

Claim Administrator FEIN (DN 8) is now required on all FROIs.

Every FROI and SROI is required to have:

- Insurer FEIN (DN 6)
- Claim Administrator FEIN (DN 8)

Additionally, all FROIs except the Cancel (MTC 01) should have: Employer FEIN (DN 16)

NAICS CODE IS THE ONLY VALID INDUSTRY CODE

For new claims (Date of Injury on or after 3/27/2018), the Industry Code (DN 25) must be a NAICS code. SIC codes will no longer be accepted.

Industry code (DN 25) is no longer required on a FROI Cancel (MTC = 01).

TIME OF INJURY IS NOW A REQUIRED REPORTABLE ELEMENT

Time of Injury (DN 32) is required on all non-CT, non-acquired transactions. It is reported using the 24-hour military time format (HH24MM).

POLICY INFORMATION UPDATE

Policy Information (DN 28, 29, and 30) is no longer required on a FROI Acquired claim (MTC = AU) or FROI Denial (MTC = 04).

NATURE OF INJURY AND PART OF BODY UPDATE

Nature of Injury Code (DN 35) is now required on a FROI Acquired (MTC = AU) transaction.

Part of Body Code (DN 36) is now required on a FROI Acquired (MTC = AU) transaction.



SROI SUBMISSION CHANGES

DATE OF INJURY IS NOW REQUIRED ON ALL SROIS

Date of Injury (DN 31) is required on all SROIs.

SROI REPORTING ON CLAIM TYPE AND STATUS OF CLAIM

- Claim Type (DN 74) is now mandatory on all SROIs except the Compensable Death (MTC = CD), the Change (MTC = 02) and Correction (MTC = CO).
- Claim Status (DN 73) must be reported as Closed, “C,” or Reopen/Reclosed, “X,” on all Final (MTC = FN) reports.

DATE DISABILITY BEGAN CHANGES

- SROI Date Disability Began (DN 56) is only necessary when the Nature of Injury Code (DN 35) is not related to Cumulative Trauma (CT) or occupational diseases (DN 35 between 60 and 80).
- Removed the error that the Date Disability Began (DN 56) must be greater than the Payment/Adjustment Start and End Dates (DN 88 and 89).

PAYMENT DATE REPORTING CHANGES

- Start and End Payment/Adjustment Dates (DN 88 and 89) are mandatory on all claims with Date of Injury on or after 6/18/2012.
- The rules for reporting a stipulated settlement have also been clarified.
 - The Payment/Adjustment Start and End dates (DN 88 and 89) should cover the initial period.
 - The last Payment/Adjustment Start and End dates (DN 88 and 89) should cover the last payment period.

PAYMENT/ADJUSTMENT CODE CHANGES

- Payment/Adjustment Code (DN 85) and the Payment/Adjustment Paid to Date (DN 86) are Mandatory/Fatal on SROI Payment (MTC = PY).
- Payment/Adjustment Code (DN85) is now Conditional/Fatal on the Annual (MTC = AN) and Final (MTC = FN), if the Number of Payment/Adjustments (DN 79) is greater than 0.

BENEFIT CODE CHANGES

- SROI Date of Death (DN 57) must now be reported if there is any payment amount for a funeral expense or a fatal benefit of any kind.
- The Permanent Impairment Part of Body Code (DN 83) is now only required on Final (MTC = FN) and Upon Request (MTC = UR) reports. They are no longer required when reporting PD on other SROIs.



SROI SEQUENCING CHANGES

SEQUENCING CLARIFICATIONS

- Clarified that any Change in Amount (MTC = CA), Partial (MTC = Px) Suspension or Suspension (MTC = Sx) must be preceded by at least one Payment/Adjustment code.
- Clarified the sequencing rules that for Indemnity Claims, the SROI annual (AN) and final (FN) must be preceded by another accepted payment record.

REMOVAL OF SEQUENCING RULES FOR CHANGES AND CORRECTIONS

- The requirement that the SROI Change (MTC=02) and Correction (MTC = CO) must have at least one previous benefit reported has been removed for transactions that include a Claim Status (DN 73) or a Date of Representation (DN 76).

RELAXING OF RETURN TO WORK SEQUENCING

- The requirement that the Date of Return to Work/Release to Work (DN 72) be greater than or equal to the date Return to Work (DN 68) has been removed.
- The requirement that Date of Return to Work (DN 68) must be greater than the Date Disability Began (DN 56) has been removed.

RELAXATION OF DATE OF MAXIMUM MEDICAL IMPROVEMENT (MMI) CHANGES

- The Requirement that Date of Maximum Medical Improvement (MMI) (DN 70) must be greater than Date Disability Began (DN 56) has been removed.
- Date of Maximum Medical Improvement (MMI) (DN 70) on Final (MTC = FN) and Upon Request (MTC = UR) reports is now required only when reporting regular PD payments.



RESOURCES AVAILABLE

EDI CONTACTS

Johnny Lee

email: jblee@dir.ca.gov

Trading partner letters A, C, G, I-L, S-V, Z

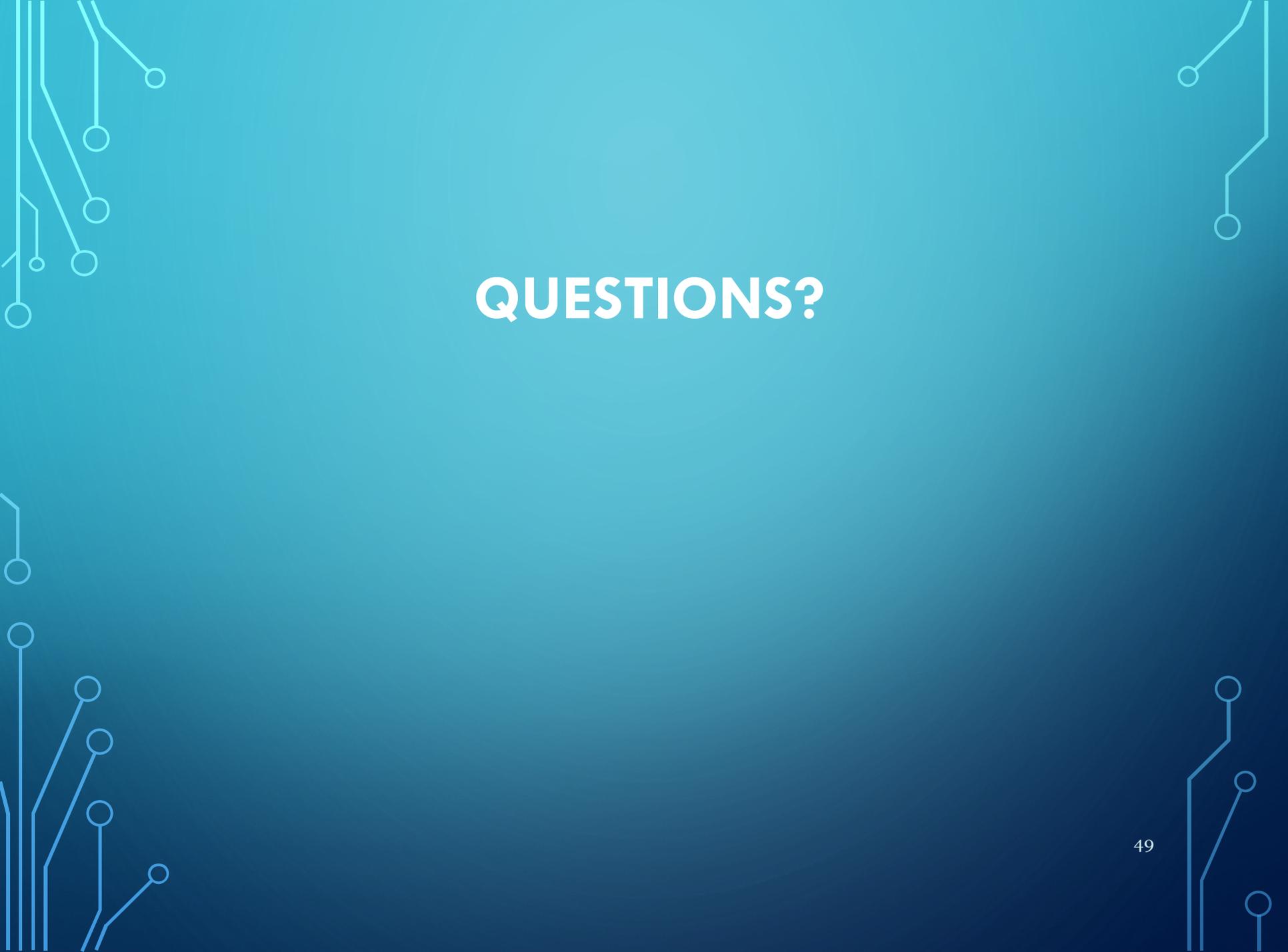
Elisema Cantu

email: ecantu@dir.ca.gov

Trading partner letters B, D-F, H, M-R, W-Y

WHERE TO GET HELP WITH THE UPDATE?

- View Webinar posted online after February 23, 2018.
- Sign-up for Enews and watch for any special bulletins
- EMAIL us directly : WCIS@dir.ca.gov

The background is a dark blue gradient. In the corners, there are white line-art illustrations of circuit traces and nodes. The top-left and bottom-left corners feature more complex, branching circuit patterns. The top-right and bottom-right corners feature simpler, more linear circuit traces.

QUESTIONS?