



MANAGE POLICY USER GUIDE

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MANAGE POLICY USER GUIDE

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INTRODUCTION

Manage Policy allows carriers to view submitted policy data, create new policies, modify existing policies and search for CPAP Credits and Assigned Risk Certificates of Insurance where applicable.

In addition, carriers can review policy edit failures and submit corrections to fix incorrect data. There are also links to error reports that will enable a carrier to provide adequate explanations (subject to WCRIBMA review) for atypical data that results in edit failures.

Policies submitted via Manage Policy are processed daily and either accepted or rejected daily. Manage Policy will display the status of a policy submission and provide error reports the same day or within a business day unless other issues with a policy cause a delay with processing.

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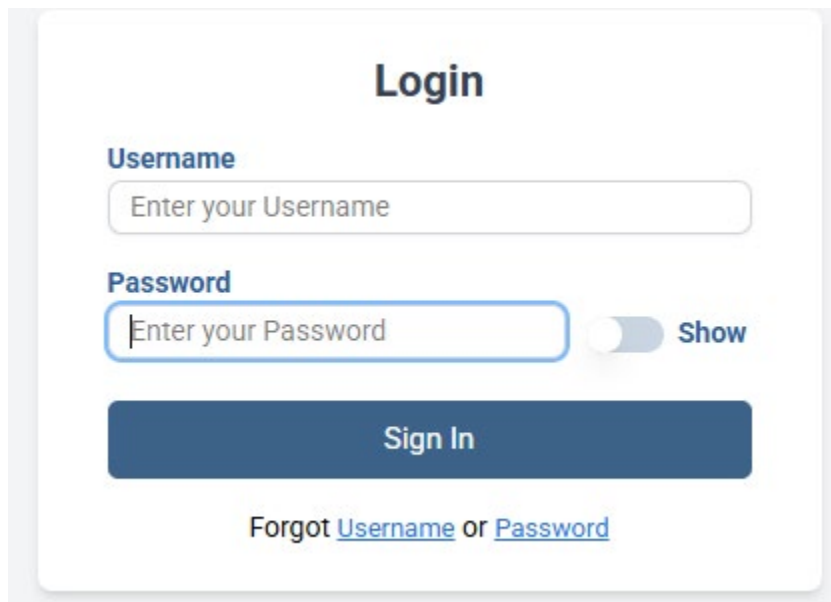
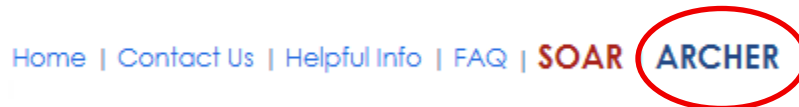
ACCESSING MANAGE POLICY

Manage Policy features can be accessed from the Policy menu within ARCHER on the WCRIBMA Web site.

Logging into ARCHER

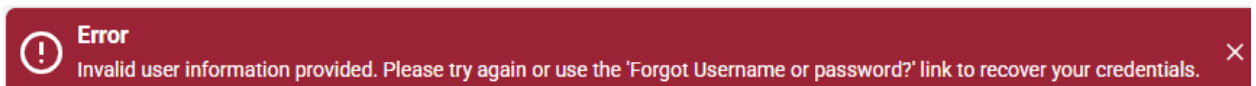
You must use a valid username and password.

1. On the WCRIBMA Web site, click the ARCHER link.

A login form titled 'Login'. It contains two input fields: 'Username' with the placeholder 'Enter your Username' and 'Password' with the placeholder 'Enter your Password'. The password field has a 'Show' toggle switch to its right. Below the fields is a blue 'Sign In' button. At the bottom, there is a link: 'Forgot [Username](#) or [Password](#)'.

2. Enter your username and password.
3. Click the Sign in button.

Note: If you enter an incorrect user name or password, the system will return an error message to inform you of the invalid data.

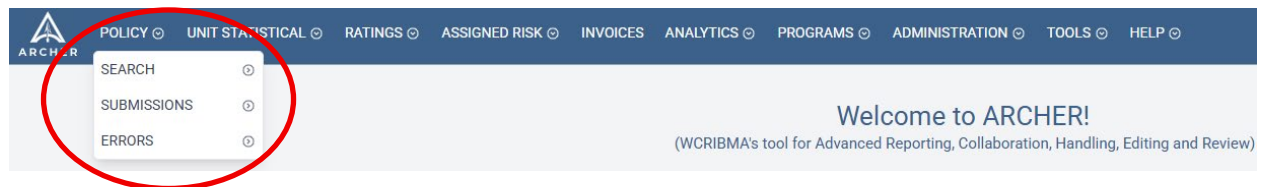


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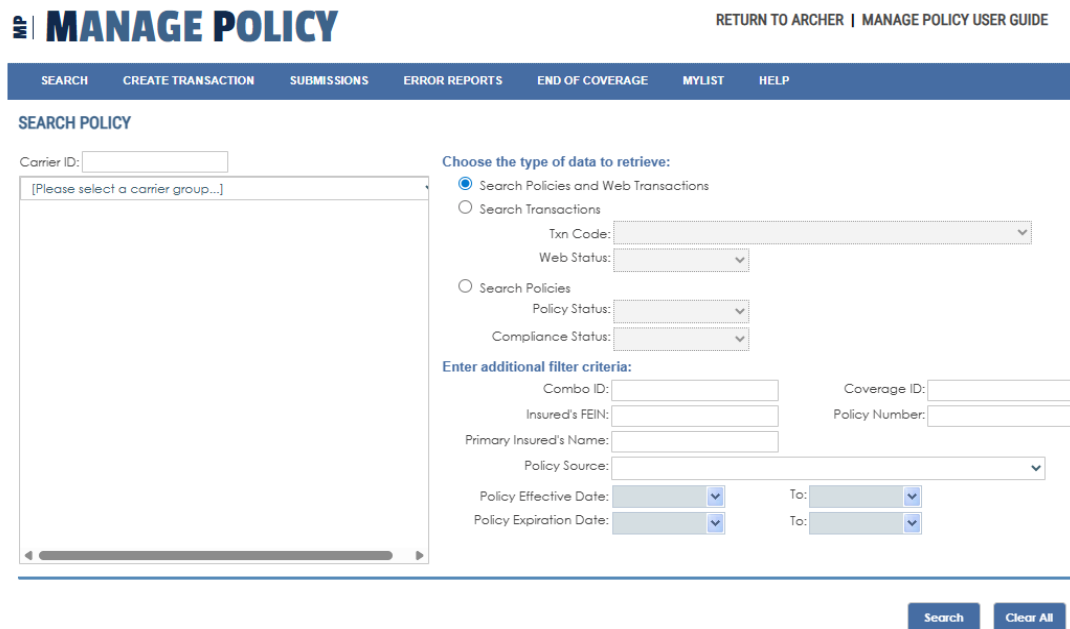
Manage Policy Menu

While the Manage Policy application contains its own navigation menu, you must first access the application using one of the menu items in the ARCHER:

1. In ARCHER, click the Policy.



2. Select one of the submenu items you want to utilize.

A screenshot of the 'MANAGE POLICY' application interface. The 'SEARCH POLICY' section is active, showing a search form with various filters and a 'Search' button. The form includes a 'Carrier ID' field, a 'Choose the type of data to retrieve' section with radio buttons for 'Search Policies and Web Transactions', 'Search Transactions', and 'Search Policies', and an 'Enter additional filter criteria' section with fields for 'Combo ID', 'Coverage ID', 'Insured's FEIN', 'Policy Number', 'Primary Insured's Name', 'Policy Source', 'Policy Effective Date', 'Policy Expiration Date', and 'To' dates. The 'Search' button is at the bottom right.

NAVIGATING IN MANAGE POLICY

While the Manage Policy application contains its own navigation menu, you can only access the application using one of the Manage Policy Features entry methods in the ARCHER menu. See The “What’s New in ARCHER” quick link within ARCHER.

Menu Navigation

Once you are inside the Manage Policy application, the menu bar that is displayed at the top of the application window is visible regardless of which page is currently displayed.

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SEARCH

CREATE TRANSACTION

SUBMISSIONS

ERROR REPORTS

END OF COVERAGE

MYLIST

HELP

- **Search**

- Search Policy - Allows you to search for transactions and processed policies. You can specify the status of the transactions or policies you're searching for and define policy-specific filter criteria to narrow your search. From the search results, you can access transaction or policy details. Refer to "Searching for Policies and Transactions" for more information.
- Search CPAP - Allows you to search for CPAP letters. You can search for CPAP letters released within a specific time frame or define policy-specific filter criteria to narrow your search. From the search results, you can access Notices of Credit, Credit Calculation Worksheets and Notices of Ineligibility. Refer to "Searching for CPAP Letters" for more information.
- Search Certificates of Insurance – Allows you to search for Certificates of Insurance issued by WCRIBMA on assigned risk policies. You can search for certificates issued within a specific time frame or define policy-specific filter criteria to narrow your search. From the search results, you can access certificate details. Refer to "Searching for Certificates of Insurance" for more information.

- **Create Transaction** - Allows you to create a new transaction. When you select Create Transaction, two sub-choices appear:

- Create New Policy - Displays a new transaction screen with no associated policy data. Refer to "Creating Transactions" for more information.
- Create Txn from Existing Policy - Displays a new transaction screen with policy data from the currently displayed transaction or policy. Depending on the transaction type, limited policy data might be copied.

Refer to "Creating Transactions" for more information. This menu choice is only available while viewing an existing policy or transaction.

- **Submissions** - Allows you to create Submission files and search for submissions. When you select Submissions, two sub-choices appear:

- Create Submission File - Allows you to view all Validated transactions, to create a Submission file for download, and to submit a Submission file for DCO processing. Transactions are submitted to the DCO for processing in the form of a WCPOLS file. Refer to "Submitting

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Transactions for DCO Processing” for more information.

- Search By Submission - Allows you to search for submitted submissions that were created in Manage Policy, but not yet processed by the DCO, or for processed submissions that came from either Manage Policy or from the another data source such as PEEP or the carrier’s policy system. For submitted submissions, the search results allow you to access details about the included transactions and download or view the Submission file. For processed submissions, the search results enable you to view details about the submission, access error reports, and, if the submission was created using Manage Policy, you can download or view the Submission file.
- **Import** - Allows you to upload a WCPOLS file into Manage Policy. The file will be validated before being uploaded into Manage Policy. Refer to ‘Importing Files’ for more information.
- **Error Reports** - Allows you to search for errors across multiple submissions. For more information, refer to “Searching for Error Reports.”
- **End of Coverage** - Allows you to search for processed policies to verify a policy’s standing as providing Workers’ Compensation coverage.
- **MyList** - Displays the MyList page, a personalized view of specific policy and, transaction records that you have identified. Refer to “MyList” for more information.
- **Help** - Displays the Manage Policy User Guide

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Two links appear above the menu bar in the right-hand corner

- **Return to ARCHER**—Displays the ARCHER home page.
- **Manage Policy User Guide**—Displays the Manage Policy User Guide.

Detail Pages

When you view a transaction or policy, the Transaction Detail page or Processed Policy Detail page gives you access to all the details about the selected transaction or processed policy.

Processed Policy Details Print

Carrier: 77777	Policy: WC78910	Primary Name: ABCDE CORP	Coverage ID: 0933230	Compliance Status: Compliant
Effective Date: 06/15/2010	Received Date: 10/18/2010	Status: Active	Combo ID: 000886585	Last Updated By:
	Status Date: 06/15/2010	Source: Policy		

Back to Prev

Information Page

Policy Exp Date: 06/15/2011	Interstate Risk ID:
Producer Name: EFG INS AGCY	Business Segment ID: 0000000
Prior Policy Number: WC78909	Policy Term Code: 1 - Standard one-year
Legal Nature Code: 03 - Corporation	Other Legal Nature:
Experience Rating Code: 3 - Intrastate rated only	Type of Plan ID Code: 1 - Voluntary Policy
Wrap-Up/OCIP Code: 2 - Non-Wrap-Up/OCIP Policy	Type of Coverage ID Code: 01 - Standard Workers Compensation Policy
Employee Leasing Type: 1 - Non-Employee Leasing Policy	Retro Rating Code: 3 - Not Retrospective Rated
Min Prem State Code: MA	Deposit Prem Amount: \$5,000.00
Policy Est Std Prem Total: \$14,039.00	Policy Min Prem Amount: \$256.00
3A State(s): MA, CT	3C Include/Exclude: (States Excluded)
3C Included State(s): ND, OH, WA, WY	
Employer Liability Limit:	
\$500,000.00 Bodily Injury by Accident-Each Accident	
\$500,000.00 Bodily Injury by Disease-Policy Limit	
\$500,000.00 Bodily Injury by Disease-Each Employee	

Internet 100%

The tabs displayed down the left-hand side of the page each pertain to a different category of data associated with the policy. If you are viewing a Processed Policy Detail page, the data in all the tabs is read-only. If you are viewing a Transaction Detail page, depending on the Transaction Code, some of the tabs will be editable, some will be read-only, and some will be disabled.

To navigate through the tabs, you can simply click the tab you want. Alternatively, you can use the Next and Previous links, at the bottom of the page, to move from one tab to another.

Note: If you navigate to another tab in the Transaction Detail page without saving first, or if you navigate away from the Transaction Detail page without saving, you will be prompted to save your changes first.

For more information about Processed Policy Detail pages, refer to “Viewing Processed Policy Data.” For details about working with Transaction Detail pages, refer to “Viewing and Editing Transaction Data” and “Modifying Policy Data.”

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SEARCHING FOR POLICIES AND TRANSACTIONS

The Search page allows you to search for transactions and processed policies. You can specify the status of the transactions or policies you're searching for and define policy-specific filter criteria to narrow your search. From the search results, you can access transaction or policy details.

Search Criteria

The Search page displays fields that allow you to specify search criteria. When you execute the search, all policy and/or transaction records matching your criteria will be returned in the search results.

Note: When you search for policies, the policy detail will display the current view of the policy as it exists in the DCO's policy system. It will not reflect changes defined in any unprocessed transactions. Policies with a policy effective date that is within the last ten years, of the current date, will be available in Manage Policy.

Search Policy

Data Last Updated 2/21/2015

77777 - MANAGE POLICY INSURANCE GROUP

☐ Select All Carriers

☒ 77777

Choose the type of data to retrieve:

☒ Search Policies and Web Transactions

☐ Search Transactions

Tin Code:

Web Status:

☐ Search Policies

Policy Status:

Compliance Status:

Enter additional filter criteria:

Combo ID: Coverage ID:

Insured's FEIN: Policy Number:

Primary Insured's Name:

Policy Source:

Policy Effective Date: To:

Policy Expiration Date: To:

Search Clear All Print Results Download Results

[+] Add to MyList

Your search returned 77 records.

<input type="checkbox"/>	Carrier ID	Policy Number	Coverage ID	Policy Eff Date	Insured Name	Address	Tin Code	Web Status
<input type="checkbox"/>	77777	WC3RC1	1073878	03/01/2012	TESTYS TOO	BOSTON, MA 02110		
<input type="checkbox"/>	77777	WC3RC4	1073878	05/09/2012	TESTYS TOO	BOSTON, MA 02110		
<input type="checkbox"/>	77777	WC21826	1073639	06/05/2012	TESTYS	LEICESTER, MA 01524		

The Carrier ID list in the upper left-hand corner of the Search page allows you to specify one or more carriers for your search. At least one carrier must be selected.

Note: When searching for transactions, only *Web transactions* will be returned. Web transactions are transactions that were created in Manage Policy. Transactions from other sources (for example, PEEP), will not be returned in the search results.

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At the top of the page, you can specify the type of data to retrieve. You can select one of the following options:

- **Search Policies and Web Transactions**—Both policy records and transaction records will be returned. (For policy records, only *processed* policies will be returned in the search results.) Only processed policies that have a policy effective date that is within the last 10 years, of the current date, will be displayed. Web transactions that have not yet been processed will be displayed, regardless of policy effective date.
- **Search Transactions**—Only web transaction records will be returned, with the following additional filters:
 - **Txn Code**—Only records with the specified Transaction Code will be returned in the search results. To search for all Transaction Codes, select the blank option from the dropdown list. (Refer to “Creating Transactions” for Transaction Code definitions.)
 - **Web Status**—Only records with the specified Web Status will be returned in the search results. To search for all Web Statuses, select the blank option from the dropdown list.

Web Status is one of the following:

In Progress, which means the transaction has some or all data entered, but it has not been validated

Validated, which means the transaction has been validated and is ready to be submitted.

Submitted, which means the transaction has been submitted for DCO processing but has not been processed.

Transactions with a Web Status of In Progress and Validated can be edited; Submitted transactions are read-only. (Web Status is meaningful only in Manage Policy and should not be confused with Transaction Status, as defined in Appendix A.) Once a transaction is processed by the Bureau, its status changes and it is no longer available in Manage Policy, but the transaction data can be viewed by searching for the policy itself.

- **Search Policies**—The search returns only policy records, with the following additional filter.
 - **Policy Status**—Only records with the specified Policy Status will be returned in the search results. To search for all Policy Statuses, select

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the blank option from the dropdown list. (Refer to Appendix A for Policy Status definitions.)

- **Compliance Status**—Only records with the specified Compliance Status will be returned in the search results. To search for all Compliance Statuses, select the blank option from the dropdown list.

You can also specify additional filter criteria:

- **Combo ID**—The search returns only records where the Combo ID matches or begins with the value you enter. If you enter fewer than nine characters, the application adds zeros to the beginning of your entry.
- **Coverage ID**—The search returns only records where the Coverage ID matches or begins with the value you enter. If you enter fewer than seven characters, the application adds zeros to the beginning of your entry.
- **Insured's FEIN**—The search returns only records where the Insured's FEIN on the Primary Name record includes the value you enter. If you enter fewer than nine characters, the application adds zeros to the beginning of your entry.
- **Policy Number**—The search returns only records where the Policy Number matches or begins with the value you enter. A minimum of 4 characters is required.
- **Policy Source**—Only records with the specified Policy Source will be returned. To search for all Policy Sources, select the blank option from the dropdown list.
- **Primary Insured's Name**—The search returns only records where the Primary Insured's Name matches or begins with the value you enter. You must enter at least four characters.
- **Policy Effective Date**—The search returns only records where the Policy Effective Date is in the specified date range.
- **Policy Expiration Date**—The search returns only records where the Policy Expiration Date is in the specified date range.

After you have specified search criteria, click the Search button. The search results grid displays all the records that match your search criteria.

If you want to clear the criteria you entered, click the Clear All button.

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Search Results

After you have specified search criteria and clicked the Search button, the search results grid displays all policy and/or transaction records matching your criteria. Transactions appear with a value in the Txn Code and Web Status column, whereas processed policies have no value in these columns.

Note: If a row is displayed in red font, that policy is in the process of being updated. You should ignore that row, until updates are complete (the row will display in black font, when you refresh the screen).

(+) Add to MyList

Your search returned 14 records.

<input type="checkbox"/>	Carrier ID	Policy Number	Coverage ID	Policy Eff Date	Insured Name	Address	Txn Code	Web Status
<input type="checkbox"/>	77777	WC78908	0291780	06/05/2008	ABCDE CORP	SOMETOWN, MA 022222222		
<input type="checkbox"/>	77777	WC78909	0291780	06/05/2009	ABCDE CORP	SOMETOWN, MA 022222222		
<input type="checkbox"/>	77777	WC11000		07/03/2009	ABC CONSTRUCTION CORP	ANYTOWN, MA 012345678	01	In Progress
<input type="checkbox"/>	77776	WCADOMA		06/01/2010	NEW MA CORP	ANOTHERTOWN, MA 025432111	15	In Progress
<input type="checkbox"/>	77777	WC77777		06/25/2010	ANOTHER CORP	ANYTOWN, MA 012345678	01	In Progress
<input type="checkbox"/>	77776	WC77776		06/25/2010	ANOTHER CORP	ANYTOWN, MA 012345678	06	In Progress
<input type="checkbox"/>	77777	WC77777		06/25/2010	ANOTHER CORP	ANYTOWN, MA 012345678	05	In Progress
<input type="checkbox"/>	77777	WC78910	0291780	06/29/2010	ABCDE CORP	SOMETOWN, MA 022222222		
<input type="checkbox"/>	77777	WC12345	0900382	07/01/2010	ABC CORP	ANYTOWN, MA 012345678		
<input type="checkbox"/>	77777	WC33333	0900382	07/01/2010	EFG CORP	ANYTOWN, MA 012345678		
<input type="checkbox"/>	77777	WC11111	0900382	07/01/2010	SOMEONES CORP	ANYTOWN, MA 012345678		
<input type="checkbox"/>	77777	WC11111	0900382	07/01/2010	SOMEONES CORP	ANYTOWN, MA 012345678	03	In Progress
<input type="checkbox"/>	77777	WC11111	0900382	07/01/2010	SOMEONES CORP	ANYTOWN, MA 012345678	08	In Progress
<input type="checkbox"/>	77777	WC11000		07/03/2010	ABC CONSTRUCTION CORP	ANYTOWN, MA 012345678	04	In Progress

Show 25 Records Per Page

The lower right-hand corner displays the grid page numbers. Click a page number to access another page of the search results. The page also displays a dropdown box that lets you select the number of records to show per page.

You can sort the list by clicking a column heading; the records will be sorted by the column values in ascending order. To reverse the sort order, click the column heading again.

To view transaction or policy details, click the Policy Number link. If you click a transaction record, the Transaction Detail page appears, as described in “Viewing and Editing Transaction Data.” If you click a policy record, the Policy Detail page appears, as described in “Viewing Processed Policy Data.”

The checkbox in each row allows you to select records for inclusion in MyList, a personalized view of specific policy and transaction records that you have identified. (If you want to select all records that are visible in the grid, select the checkbox in the column heading row.) After the desired rows are selected, click the Add to MyList button. For information about accessing the records you have added, refer to the “MyList” section.

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Printing and Downloading Search Results

The Search page enables you to print search results or download them in the form of an Excel spreadsheet.

To print the results, click the Print Results button. You will be prompted to save a PDF file, which you can then open and print. To download the results, click the Download Results button. You will be prompted to save an Excel file.

Note: If your browser is configured to display PDF files or Excel files, the search results will appear in a browser window, at which point, you can print or save the information.

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VIEWING AND EDITING TRANSACTION DATA

The only way to create or modify a policy is by submitting a transaction that is defined to make the specific changes you want to make.

Manage Policy enables you to view existing transactions, either for review or editing. There are numerous ways to access transaction details, including clicking a Policy Number in search results, clicking a Transaction Code on the Create Submission File page, or clicking a Transaction Code on the Transaction History tab of a Transaction Detail page or Policy Detail page.

Transaction Details

When you access a transaction, the Transaction Detail page appears, providing access to all the details about the selected transaction.

The screenshot displays the Transaction Detail page for a policy. At the top, the 'Type of Transaction' is 08 and the 'Transaction Status' is 'In Progress'. The 'Carrier' is 77777, 'Policy' is WC78910, and 'Primary Name' is ABCDE CORP. The 'Effective Date' is 06/15/2010 and the 'Issue Date' is 07/02/2010. A 'Print' button is in the top right. Below this, a 'Last Validated' timestamp and a message about in-progress transactions are shown, along with 'Validate', 'Delete', and 'Back to Prev' buttons. The left sidebar contains tabs: Information Page (selected), Insured Names, Addresses, Premium, Exposure, Endorsements, Cancellations/Reinstatements, Noncompliance, Transaction History, Manage UGI, and WC RATINGS. The main content area is divided into sections: 'Header Information' with fields for Policy Exp Date, Producer Name, Prior Policy Number, Legal Nature Code, Experience Rating Code, Wrap-Up/OCIP Code, Employee Leasing Type, Interstate Risk ID, Business Segment ID, Policy Term Code, Other Legal Nature, Type of Plan ID Code, Type of Coverage ID Code, and Retro Rating Code. 'Employer Liability Limits Amounts' section includes fields for Other Bodily Injury by Accident, Other Bodily Injury by Disease - Policy Limit Amount, and Other Bodily Injury by Disease - Each Employee Amount. The 'Premium' section shows Deposit Prem Amount, Policy Est Std Prem Total, Policy Min Prem Amount, and Min Prem State Code. At the bottom, a '3A/3C States' section is visible.

At the top of the page is the Policy Header, which identifies the Transaction Code, displays Policy Key Data (Carrier, Policy Number, and Effective Date) and, if it has been entered, displays the current Primary Name associated with the policy.

The Transaction Code will determine which tab is selected by default when you access the Transaction Detail page. Depending on the Transaction Code and the Web Status, some of the tabs will be editable, some will be read-only, and some will be disabled.

Note: Most of the tabs support the creation of multiple records. For example, the Insured Names tab allows you to define multiple records to store each of the names associated with the policy. For details about how to create, edit, and delete records,

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refer to “Multi-record Tabs.”

As you are creating or editing a transaction, you will enter data on each of the available tabs. (Refer to “Modifying Policy Data” for details about the data on each tab.)

Note: When creating a transaction, you will be prompted to enter Policy Key Data (Carrier, Policy Number, and Effective Date) for some transactions and the transaction Issue Date for all transactions before you can access the tabs of the Transaction Detail page.

After the required data has been entered, you must validate the data by clicking the Validate button in the Policy Header at the top of the page. This will change the Web Status of the transaction to *Validated*.

All transactions have one of the following Web Statuses:

- **In Progress**—The transaction has some or all data entered, but it has not been validated. (An In Progress transaction cannot be used as the basis for creating a new transaction.)
- **Validated**—The transaction has been validated and is ready to be submitted. (A Validated transaction can be used as the basis for creating a new transaction.)
- **Submitted**—The transaction has been submitted for DCO processing, but has not been processed yet. (A Submitted transaction can be used as the basis for creating a new transaction.)

When you click the Validate button, the application will validate the data on all the editable tabs. If any required fields (marked with a red asterisk) are not filled in, or if a value you entered does not satisfy the requirements of the field, the page appears with an error icon on each tab that contains a validation error. On the tabs, an error icon appears next to each field that contains a validation error. If you place your mouse cursor on the field error icon, a message will appear indicating the problem(s).

If, when you click the Validate button, all field values pass validation, the transaction is saved with a Web Status of Validated and a message appears indicating that the transaction data was validated.

Once a transaction has been validated, any change will set the transaction’s Web Status from Validated back to In Progress. This will occur when you click the Save, Edit, or Delete button on any tab; a message will appear indicating the change in Web Status and that the transaction data will need to be validated again.

Note: After a transaction is validated, it must be submitted in order for the policy

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creation or policy change to take effect. Manage Policy enables you to create a Submission file that includes the transaction and submit it for DCO processing. For details, refer to “Submitting Transactions for DCO Processing.”

If you are creating a transaction and want to cancel the operation, click the Cancel button in the pop-up box that appears prompting you for Policy Key Data. You will be prompted to confirm the cancelation and you will be taken to the page you were viewing before creating the transaction.

The Delete button enables you to delete a transaction. You will be prompted to confirm the deletion. (You can also delete a Validated transaction from the Create Submission File page. Refer to “Creating Submission Files” for details.)

Multi-record Tabs

Most of the tabs on the Transaction Detail page support the creation of multiple records. For example, the Insured Names tab allows you to define multiple records to store each of the names associated with the policy.

Insured Name	FEIN	Name Link ID	Cont. Seq#	PEO Indicator	Chg Eff Date	Chg Exp Date
ABC CONSTRUCTION CORP	123456789	001	001			

Enter the information below and then click Save

Primary Name:

Name of Insured:

Federal Employer ID Number (FEIN):

PEO or Client Company Code:

Multi-record tabs are divided into two sections, one that lists all existing records, and one that allows you to enter values for a new record or edit the values of an existing record.

The sections below provide details about adding, editing, and deleting records in multi-record tabs.

Note: Three of the multi-record tabs, Endorsements, Cancellations/Reinstatements, and Noncompliance, have slightly different behavior when adding, editing, and deleting records. Details are provided in "Endorsements," "Cancellations/Reinstatements," and "Noncompliance" in the “Modifying Policy Data” section.

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Adding a Record

When you access a multi-record tab, the data entry fields on the page are empty and the form is ready for you to add a new record.

To add a record, enter values in the data entry fields and click the Save button in the lower right-hand corner. If any required fields (marked with a red asterisk) are not filled in, or if a value you entered does not satisfy the requirements of the field, a validation message or red x (hover over red x for message) will appear indicating the problem(s). If all the field values pass validation, the new record is saved and appears in the grid.

If you want to cancel creation of the new record, click the Cancel button. Any values you entered will be cleared.

Editing a Record

Multi-record tabs display a grid that lists all existing records. To edit a record, click the Edit button in the corresponding row in the grid. The field values of the record will appear in the data entry fields below the grid. Make the desired changes and click the Save button in the lower right-hand corner.

If any required fields (marked with a red asterisk) are not filled in, or if a value you entered does not satisfy the requirements of the field, a validation message or red x (hover over red x for message) will appear indicating the problem(s). If all the field values pass validation, the changes are saved.

If you want to cancel the changes you have made to the record, click the Cancel button.

Deleting a Record

To delete a record, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

MANAGE POLICY USER GUIDE

Transaction History

The Transaction History page gives you access to details about all transactions associated with the policy. It is divided into two sections: Processed Transactions, and Unprocessed Transactions.

Processed Policy Details

Carrier: 77777 Policy: WC78910 Primary Name: ABCDE CORP
Effective Date: 06/15/2010 Received Date: 10/18/2010 Coverage ID: 0933230 Compliance Status: Compliant
Status: Active Combo ID: 000886585 Source: Policy
Status Date: 06/15/2010

here are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information. [Back to Prev](#)

Transaction History

Processed Transactions
Click on Submission ID link for details

Transaction Code	Issue Date	Status	Received Date	Submission ID	Errors	
02 - Renewal	05/30/2010	Accepted With Errors	10/18/2010	128080	View	c:\spectrum\pr

Pending and Unsubmitted Transactions

Transaction Code	Issue Date	Web Status	File Name	Created By	Created Date
08 - Policy Replacement due to Rating Change	07/02/2010	Validated		M. Full Access	10/21/2010
17 - Noncompliance of Policy Terms and Conditions	10/22/2010	In Progress		M. Full Access	10/22/2010
06 - Policy Replacement Due to Key Field Change	06/25/2010	Validated		M. Full Access	10/26/2010

Processed Transactions

The Processed Transactions grid lists all transactions that have been processed by the Bureau. These transactions provide a record of changes that have already been applied to the policy.

You can click a Submission ID to see details about the submission that included the transaction. The View Processed Submissions page will appear, with the grid displaying only the submission you clicked. (You can then expand the submission record to access details about the included transactions.)

If a processed transaction was submitted using Manage Policy within the previous year, the File Name will appear as a hyperlink. When clicked, you will have the option of viewing or downloading the Submission file for the selected submission.

Unprocessed Transactions

The Unprocessed Transactions grid lists all In Progress, Validated, and Submitted transactions. You can edit In Progress transactions and Validated transactions, but Submitted transactions are read-only.

When you click a Transaction Code value in the grid, the Transaction Detail Page appears.

Note: For Submitted transactions, you can click the File Name value in the grid to view the Submission file that will be sent to Spectrum.

MANAGE POLICY USER GUIDE

VIEWING PROCESSED POLICY DATA

Manage Policy enables you to view processed policies, but you cannot make changes to a policy directly. Changes must be made by creating and submitting a transaction for each type of change you need to make.

There are numerous ways to access policy details, including clicking a Policy Number in search results, submission search results, or error reports.

Policy Details

When you access a policy, the Policy Detail page appears, providing access to all the details about the selected policy. All data is read-only.

Note: When you access a policy, the data will reflect only the current data for the policy as it resides in the Bureau's database. It will not reflect changes defined in any unprocessed transactions.

Processed Policy Details				Print	
Carrier:	77777	Policy:	WC78910A	Primary Name:	ABCDE CORP
Effective Date:	06/25/2010	Received Date:	11/10/2010	Coverage ID:	0933230
		Status:	Active	Combo ID:	000886585
		Status Date:	06/25/2010	Source:	Policy
				Compliance Status:	Compliant
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Information Page

Insured Names

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Premium

Exposure

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Cancellations/Reinstatements

Noncompliance

Transaction History

ManageUSR(0)

Information Page

Policy Exp Date:

06/25/2011

Producer Name:

EFG INS AGCY

Prior Policy Number:

Legal Nature Code:

03 - Corporation

Experience Rating Code:

3 - Intrastate rated only

Wrap-Up/OCIP Code:

2 - Non-Wrap-Up/OCIP Policy

Employee Leasing Type:

1 - Non-Employee Leasing Policy

Min Prem State Code:

MA

Policy Est Std Prem Total:

\$14,039.00

3A State(s):

MA, CA, CT

3C Included State(s):

ND, OH, WA, WY

Employer Liability Limit:

\$500,000.00 Bodily Injury by Accident-Each Accident
\$500,000.00 Bodily Injury by Disease-Policy Limit
\$500,000.00 Bodily Injury by Disease-Each Employee

Interstate Risk ID:

Business Segment ID:

0000000

Policy Term Code:

1 - Standard one-year

Other Legal Nature:

Type of Plan ID Code:

1 - Voluntary Policy

Type of Coverage ID Code:

01 - Standard Workers Compensation Policy

Retro Rating Code:

3 - Not Retrospective Rated

Deposit Prem Amount:

\$5,000.00

Policy Min Prem Amount:

\$256.00

3C Include/Exclude:

(States Excluded)

At the top of the page is the Policy Header, which displays Policy Key Data (Carrier, Policy Number, and Effective Date) and other details about the process policy.

The detail tabs provide all the same policy details as the Transaction Detail page, but the values are read-only. Multi-record tabs like Insured Names and Addresses display the grid only, and the Edit or Delete buttons are removed.

MANAGE POLICY USER GUIDE

Transaction History

The Transaction History page gives you access to details about all transactions associated with the policy. It is divided into two sections, Processed Transactions, and Unprocessed Transactions.

Processed Policy Details Print

Carrier: 77777 Policy: WC78910 Primary Name: ABCDE CORP
Effective Date: 06/15/2010 Received Date: 10/18/2010 Coverage ID: 0933230 Compliance Status: Compliant
Status: Active Status Date: 06/15/2010 Combo ID: 000886585 Source: Policy

here are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information. Back to Prev

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Transaction History
Click on Submission ID link for details

Transaction Code	Issue Date	Status	Received Date	Submission ID	Errors	
02 - Renewal	05/30/2010	Accepted With Errors	10/18/2010	128080	View	c:\spectrum\pr

Pending and Unsubmitted Transactions

Transaction Code	Issue Date	Web Status	File Name	Created By	Created Date
08 - Policy Replacement due to Rating Change	07/02/2010	Validated		M. Full Access	10/21/2010
17 - Noncompliance of Policy Terms and Conditions	10/22/2010	In Progress		M. Full Access	10/22/2010
06 - Policy Replacement Due to Key Field Change	06/25/2010	Validated		M. Full Access	10/26/2010

Internet

Processed Transactions

The Processed Transactions grid lists all transactions that have been processed by the Bureau. These transactions provide a record of changes that have already been applied to the policy.

You can click a Submission ID to see details about the submission that included the transaction. The View Processed Submissions page will appear, with the grid displaying only the submission you clicked. (You can then expand the submission record to access details about the included transactions.)

If a processed transaction was submitted using Manage Policy within the previous twelve months, the File Name will appear as a hyperlink. When clicked, you will have the option of viewing or downloading the Submission file for the selected submission.

Unprocessed Transactions

The Unprocessed Transactions grid lists all In Progress, Validated, and Submitted transactions. You can edit In Progress transactions and Validated transactions, but Submitted transactions are read-only.

When you click a Transaction Code value in the grid, the Transaction Detail Page appears.

Note: For Submitted transaction, you can click the File Name value in the grid to view the Submission file that will be sent to Spectrum.

MANAGE POLICY USER GUIDE

Unit Statistical Data

The Manage USR tab gives you access to USR and UST data associated with a policy. This tab will be available only if you are viewing a processed policy.

The screenshot displays the 'Processed Policy Details' section of a web application. It includes a header with a 'Print' button and a 'Back to Prev' button. Below the header, there is a table of policy details. The 'Manage USR' tab is selected, showing a link to enter the ManageUSR application. A table below the link displays USR data for a specific policy.

Carrier:	Policy:	Primary Name:	Received Date:	Coverage ID:	Compliance Status:
77777	WC78908	ABCDE CORP	10/18/2010	0933230	Noncompliant
Effective Date:	06/15/2008	Status:	Canceled	Combo ID:	000886585
		Status Date:	05/06/2009	Source:	Policy

There are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information.

Manage USR
Click [here](#) to enter the ManageUSR application.

Report #	Correction #	Correction Type	Edit Status	Due Status	Due Date	Submission ID
01	00		Accepted with Error			201010180002

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WCRATINGS(0)

Note: The Manage USR tab displays the number of unit statistical data records in parenthesis. For example, if the tab is labeled Manage USR (2), that indicates that there are two records in the grid.

The grid displays all USR/UST data for the policy and policy effective date.

If you have permission to the Manage USR web application, this tab displays a link to the application. When you click the link on the Manage USR screen, the UST tab of the Manage USR web application will appear in a new window. The application opens in the context of the policy you are working with, displaying search results for the Carrier ID, Policy Number, and Policy Effective Date. If there are no expected, due, delinquent or rejected units for the policy, the UST search results will be blank. You have the option of using General Search in Manage USR to view all units that were received for the policy.

MANAGE POLICY USER GUIDE

Experience Ratings

The WCRATINGS tab gives you access to details about experience rating for the policy. This tab will be available only if you are viewing a processed policy.

Processed Policy Details Print

Carrier: 77777 Policy: WC78910 Primary Name: ABCDE CORP
Effective Date: 06/15/2010 Received Date: 10/18/2010 Coverage ID: 0933230 Compliance Status: Compliant
Status: Active Combo ID: 000886585
Status Date: 06/15/2010 Source: Policy

There are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information. Back to Prev

Information Page

WCRatings

Click [here](#) to enter the WCRatings application.

Rating Type	Date	Release Date	Issue Date	Effective Date	Revision Number	Result	Rating	ARAP
Normal		10/19/2010	10/19/2010	06/15/2010		00 Experience	0.88	1.00

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WCRATINGS(1)

Internet

Note: The WCRATINGS tab displays the number of rating records in parenthesis. For example, if the tab is labeled WCRATINGS (2), that indicates that there are two ratings records in the grid.

The grid displays all ratings for the policy and policy period.

If you have permission to the WCRATINGS web application, the tab displays a link to the application. When you click the link on the WCRATINGS screen, the system will bring up a PDF of the most recent experience rating worksheet, merit rating or DNQ letter.

MANAGE POLICY USER GUIDE

CPAP – MA Construction Classification Premium Adjustment Program

The CPAP tab gives you details about construction credits issued by WCRIBMA for the policy. This tab will be available only if you are viewing a processed policy.

Manage Policy

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SEARCHCREATE TRANSACTIONSUBMISSIONSERROR REPORTSEND OF COVERAGEMYLISTHELP

Processed Policy Details

Print

Carrier: 77777Policy: WC12345678Primary Name: TEST POLICY NAMED INSUREDReceived Date: 02/02/2018Coverage ID: 0172799Compliance Status: CompliantEffective Date: 10/03/2017Status: ActiveCombo ID: 000172799Status Date: 10/03/2017Source: Policy

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CPAP - MA Construction Classification Premium Adjustment Program

Letter ID	Description	Credit Effective Date	Credit Expiration Date	Release Date	Status Date	Status	Factor
4924880	NOTICE OF CREDIT	10/03/2017	10/03/2018	02/02/2018	02/02/2018	Released	7.00%
4924879	NOTICE OF CREDIT	10/03/2017	10/03/2018	02/02/2018	02/02/2018	Voided	13.00%

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Note: The CPAP tab displays the number of construction credit letters in parenthesis.

For example, if the tab is labeled CPAP (2) that indicates that there are two construction credit letters in the grid.

The grid displays all Notice of Credit and Notice of Ineligibility letters issued by WCRIBMA for the policy.

When you click on the Letter ID link, the system will bring up a pdf of the letter and the construction credit calculation worksheet (if applicable). Records for voided letters will be shown, but the letters and worksheets themselves will not be viewable. Only the current released letter and worksheet will be viewable.

MANAGE POLICY USER GUIDE

Certificates Of Insurance

The Certificate tab gives you details about certificates of insurance issued by WCRIBMA for the policy. This tab will be available only if you are viewing a processed policy.

Manage Policy

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SEARCH	CREATE TRANSACTION	SUBMISSIONS	ERROR REPORTS	END OF COVERAGE	MYLIST	HELP									
Processed Policy Details Print															
Carrier: 77777		Policy: WC123456		Primary Name: ABC CORP											
Effective Date: 01/01/2015		Received Date: 09/03/2015		Coverage ID: 1095056		Compliance Status: Compliant									
		Status: Active		Combo ID: 001038702											
		Status Date: 01/01/2015		Source: Policy											
Back to Prev															
WCRIBMA - Issued Certificates of Insurance															
Information Page	<table><thead><tr><th>Certificate#</th><th>Certificate Holder</th><th>Date Issued</th></tr></thead><tbody><tr><td>267</td><td>Spring Landscaping LLC</td><td>09/09/2015</td></tr><tr><td>261</td><td>Washington Street Corp</td><td>09/09/2015</td></tr></tbody></table>						Certificate#	Certificate Holder	Date Issued	267	Spring Landscaping LLC	09/09/2015	261	Washington Street Corp	09/09/2015
Certificate#	Certificate Holder	Date Issued													
267	Spring Landscaping LLC	09/09/2015													
261	Washington Street Corp	09/09/2015													
Insured Names															
Addresses															
Premium															
Exposure															
Endorsements															
Cancellations/Reinstatements															
Noncompliance															
Transaction History															
ManageUSR(1)															
WCRATINGS(0)															
CPAP(0)															
Certificate(2)															

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Note: The Certificate tab displays the number of certificates of insurance in parenthesis. For example, if the tab is labeled Certificate (2) that indicates that there are two certificates of insurance in the grid.

The grid displays all certificates of insurance issued by WCRIBMA for the policy.

When you click on the Certificate Holder link, the system will bring up a pdf of the certificate.

MANAGE POLICY USER GUIDE

SEARCHING FOR CPAP LETTERS

The Search page allows you to search for CPAP Letters. The search results allow you to view and download released Notices of Credit including the Credit Calculation Worksheets and Notices of Ineligibility.

Search Criteria

The Search page displays fields that allow you to specify search criteria. When you execute the search, all CPAP letters matching your criteria will be returned in the search results.

Note: When you search for CPAP letters, records for voided letters will be shown, but the letters and worksheets themselves will not be viewable. Only current released letters and worksheets will be viewable.

The Carrier ID list in the upper left-hand corner of the Search page allows you to specify one or more carriers for your search. At least one carrier must be selected.

For a broad search, you can choose to search for all CPAP letters released within the last week (1 Week), or month (1 Month) or year (1 Year) using the one-click time period search buttons.

Manage Policy

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Search CPAP

Carrier ID:

77777 - MANAGE POLICY INSURANCE GROUP

☒ Select All Carriers

☒ 77777 -

Search for CPAP Letters released within :

1 Week

1 Month

1 Year

Search for CPAP Letters according to the following criteria:

Insured's Name:

Policy Number:

FEIN:

Coverage ID:

Combo ID:

Policy Effective Date: To:

Letter Release Date: To:

SearchClear All

All Results in PDFAll Results in ExcelZip File of PDFs of Selected Letters and Credits

Your search returned 5 records.

<input type="checkbox"/>	Carrier ID	Policy Number	Coverage ID	Insured Name	Policy Eff Date	Credit Eff Date	Letter Type	Credit	Status	Release Date
<input type="checkbox"/>	77777	WC67890	0059937	DEFG INC	02/06/2014	02/06/2014	NOTICE OF CREDIT	23%	Released	02/27/2015
<input type="checkbox"/>	77777	WCTEST456	0072075	LMNO CORP	11/08/2014	11/08/2014	NOTICE OF CREDIT	13%	Released	02/27/2015
<input type="checkbox"/>	77777	WCTEST123	0109763	HUK CORP	01/05/2015	01/05/2015	NOTICE OF INELIGIBILITY	N/A	DNQ	02/27/2015
<input type="checkbox"/>	77777	WC12345	0172799	ABC CORP	10/03/2014	10/03/2014	NOTICE OF CREDIT	25%	Voided	02/27/2015
<input type="checkbox"/>	77777	WC12345	0172799	ABC CORP	10/03/2014	10/03/2014	NOTICE OF CREDIT	25%	Released	03/02/2015

Show

25

Records Per Page

23

MANAGE POLICY USER GUIDE

For a more specific search, you can enter one or more filter criteria:

- **Insured's Name** — The search returns only records where the Insured's Name contains the value you enter. You must enter at least four characters.
- **Policy Number** — The search returns only records where the Policy Number matches the value you enter. A minimum of 4 characters is required.
- **Insured's FEIN** — The search returns only records where the Insured's FEIN on the Primary Name record includes the value you enter. If you enter less than nine characters, the application adds zeros to the beginning of your entry.
- **Coverage ID** — The search returns only records where the Coverage ID matches the value you enter. If you enter less than seven characters, the application adds zeros to the beginning of your entry.
- **Combo ID** — The search returns only records where the Combo ID matches the value you enter. If you enter less than nine characters, the application adds zeros to the beginning of your entry.
- **Policy Effective Date** — The search returns only records where the Policy Effective Date is in the specified date range.
- **Letter Release Date** — The search returns only records where the Letter Release Date is in the specified date range.

After you have specified search criteria, click the Search button. The search results grid displays all the records that match your search criteria.

If you want to clear the criteria you entered, click the Clear All button.

Search Results

After you have specified search criteria and clicked the Search button, the search results grid displays all CPAP Letters matching your criteria.

You can sort the list by clicking a column heading; the records will be sorted by the column values in ascending order. To reverse the sort order, click the column heading again.

To view or print a Notice of Credit letter and the credit worksheet for a released credit, click on the Letter Type link. The letter and credit worksheet of voided credits cannot be viewed. To view or print a Notice of Ineligibility letter (DNQ) for an application that did not qualify for a credit, click on the Letter Type Link.

To view all CPAP letters for the policy, click on the Policy Number link then click on the CPAP tab.

MANAGE POLICY USER GUIDE

The lower right-hand corner displays the grid page numbers. Click a page number to access another page of the search results. The page also displays a dropdown box that lets you select the number of records to show per page.

Printing and Downloading Search Results

The Search page enables you to print search results as a PDF, download search results in an Excel spreadsheet, or create a zip file of letter and worksheet PDFs.

To print the results as a PDF, click the All Results in PDF button. You will be prompted to save a PDF file, which you can then open and print.

To download the results in Excel, click the All Results in Excel button. You will be prompted to save an Excel file.

To create a zip file of all or selected PDF letters and worksheets, click the Zip File of PDFs of Selected Letters and Credits button. To include all letters and worksheets in the zip file, click the check box in the header. To include selected letters and worksheets in the zip file, individually click the check boxes for the letters and worksheets you want to include.

Note: If your browser is configured to display PDF files or Excel files, the search results will appear in a browser window, at which point, you can print or save the information.

MANAGE POLICY USER GUIDE

SEARCHING FOR CERTIFICATES OF INSURANCE

The Search page allows you to search for Certificates of Insurance issued by WCRIBMA on assigned risk policies. The search results allow you to view and download certificates.

Search Criteria

The Search page displays fields that allow you to specify search criteria. When you execute the search, all certificates of insurance matching your criteria will be returned in the search results. If no search criteria is selected, the search returns all results for the selected carrier(s).

The Carrier ID list in the upper left-hand corner of the Search page allows you to specify one or more carriers for your search. At least one carrier must be selected.

For a broad search, you can choose to search using the one-click time period search buttons for all certificates issued yesterday (Yesterday) or within the last three days (3 Days), week (1 Week), month (1 Month) or three months (3 Months). To search for certificates issued today, enter today's date in the Date Issued From and To dates.

Manage Policy

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SEARCHCREATE TRANSACTIONSUBMISSIONSERROR REPORTSEND OF COVERAGEMYLISTHELP

Search Assigned Risk Certificates of Insurance

Carrier ID:

77777 - MANAGE POLICY INSURANCE GROUP

☐ Select All Carriers

☒ 77777 -

Search for Certificates of Insurance issued within the following time period:

Yesterday

3 Days

1 Week

1 Month

3 Months

Search for Certificates of Insurance according to the following criteria:

Policy Premium

Number of Certificates Issued

☐ Less or Equal

\$250

☐ Greater than

1

☐ Greater or Equal

\$250

☐ Between

1

and

50

☐ Between

\$250

and

\$500

Certificate Info

Insured's Name:

Policy Number:

Coverage ID:

1095056

Certificate Number:

Policy Effective Date:

To:

Date Issued:

To:

Search

Clear All

All Results in PDFAll Results in ExcelZip File of PDFs of Issued Certificates

Your search returned 4 records.

<input type="checkbox"/>	Carrier ID	Policy Number	Coverage ID	Policy Primary Name	Policy Eff Date	Certificate#	Certificate Holder	Date Issued	Premium	Total Number Issued Certificates
<input type="checkbox"/>	77777	WC123456	1095056	ABC CORP	01/01/2014	268	Fall Electrical LLC	09/09/2015	6389	2
<input type="checkbox"/>	77777	WC123456	1095056	ABC CORP	01/01/2015	267	Spring Landscaping LLC	09/09/2015	6389	2
<input type="checkbox"/>	77777	WC123456	1095056	ABC CORP	01/01/2014	262	Washington Street Corp	09/09/2015	6389	2
<input type="checkbox"/>	77777	WC123456	1095056	ABC CORP	01/01/2015	261	Washington Street Corp	09/09/2015	6389	2

MANAGE POLICY USER GUIDE

For a more specific search, you can enter one or more of the following filter criteria:

- **Policy Premium** — The search returns only records where the Policy Premium is in the specified premium range.
- **Number of Certificates Issued**-The search returns only records where the number of certificates issued for a policy is in the specified range.
- **Insured's Name** — The search returns only records where the Insured's Name contains the value you enter. You must enter at least four characters.
- **Policy Number** — The search returns only records where the Policy Number matches the value you enter. You must enter the complete policy number.
- **Coverage ID** — The search returns only records where the Coverage ID matches the value you enter. If you enter less than seven characters, the application adds zeros to the beginning of your entry.
- **Certificate Number** — The search returns only records where the Certificate Number on the Certificate of Insurance PDF matches the value you enter.
- **Policy Effective Date** — The search returns only records where the Policy Effective Date is in the specified date range.
- **Date Issued** — The search returns only records where the Certificate of Insurance Date Issued is in the specified date range.

After you have specified search criteria, click the Search button. The search results grid displays all the records that match your search criteria.

If you want to clear the criteria you entered, click the Clear All button.

Search Results

After you have specified search criteria and clicked the Search button, the search results grid displays all certificates of insurance matching your criteria. The maximum number of records returned is 250. If your search returns more than 250 records, narrow your search criteria, when possible.

You can sort the list by clicking a column heading; the records will be sorted by the column values in ascending order. To reverse the sort order, click the column heading again.

To view, print or save a Certificate of Insurance, click on the Certificate Holder link.

To view all Certificates of Insurance for the policy, click on the Policy Number link then click on the Certificate tab.

MANAGE POLICY USER GUIDE

Printing and Downloading Search Results

The Search page enables you to print search results as a PDF, download search results in an Excel spreadsheet, or create a zip file of issued certificates.

To print the results as a PDF, click the All Results in PDF button. You will be prompted to save a PDF file, which you can then open and print.

To download the results in Excel, click the All Results in Excel button. You will be prompted to save an Excel file.

To create a zip file of all or selected certificate PDFs, click the Zip File of PDFs of Issued Certificates button. To include all PDFs in the zip file, click the check box in the header. To include selected PDFs in the zip file, individually click the check boxes for the PDFs you want to include.

Note: If your browser is configured to display PDF files or Excel files, the search results will appear in a browser window, at which point, you can print or save the information.

MANAGE POLICY USER GUIDE

CREATING TRANSACTIONS

Manage Policy enables you to create new transactions and save them for submission. This section describes the Transaction Codes; covers general information about how to create a transaction; and provides, for each Transaction Code, step-by-step instructions for creating a transaction.

The Transaction Codes are defined in the following table.

Note: This guide refers to transactions of a given Transaction Code using the numeric code only, for example, a transaction with the “01 - New Policy” Transaction Code is referred to as an “01 Transaction.”

Transaction Code	Description
01 – New Policy	Results in the creation of a new policy that is not replacing an existing policy. This transaction should be used to create a policy that is the first policy issued to the insured entity by the insurance company or group. The policy is new business to the carrier.
02 – Renewal Policy	A renewal policy is the second or any subsequent policy issued to a particular insured by the insurance company or group. At the expiration of the prior policy, the coverage is renewed.
03 – Endorsement	Adds one or more endorsements to an existing policy. If more than one endorsement is created, the system creates a separate transaction 03 for each such endorsement. Does not include any policy information except the link data and the endorsement.
04 – Annual Rerate Endorsement	Updates premium and exposure for the second or third period, either for a policy that is issued to be 3 years in length with annual rerates, or for a policy that extends longer than a one year and 16 days period.
05 – Cancellation/Reinstatement	Ends or restarts coverage provided by a specific policy.
06 – Policy Replacement due to Key Change	Replaces a policy with a new one, due to changes in one of the Policy Key Data fields (Carrier Code, Policy ID Number, and Policy Effective Date), which is the information that uniquely identifies a policy.

MANAGE POLICY USER GUIDE

Transaction Code	Description
08 – Policy Replacement due to Rating Change	Replaces a policy with a new one, due to changes in any aspect of the policy, except changes in Policy Key Data fields (Carrier Code, Policy ID Number, and Policy Effective Date), that pertains to or results in a change to the premium.
10 – Policy Replacement due to NonRating Change	Replaces a policy with a new one, due to changes in any aspect of the policy except changes in Policy Key Data fields (Carrier Code, Policy ID Number, and Policy Effective Date) and rating changes.
14 – Policy Replacement due to Misc Change	Replaces a policy with a new one, due to any change to the policy except changes in Policy Key Data fields (Carrier Code, Policy ID Number, and Policy Effective Date). A replacement due to miscellaneous changes can be also used for rating and non-rating changes.
15 – New Policy Txn Adding MA 15 – Policy Replacement to Add/Delete States to Existing MA Policy	Replaces a policy with a new one, due to inclusion or exclusion of states in the list of states that are covered by the policy.
16 – Issue Notice	Notifies the coverage entity (for example an industrial accident board or the DCO) that Workers Compensation coverage has been issued. The notice includes the Policy ID Number, the coverage dates, and other basic policy information.
17 – Noncompliance/Compliance	Notifies the DCO that the insured has either not met or has rectified a former failure to meet the provisions of the policy.

When you create a transaction, sometimes you will need to start with a blank Transaction Detail page, and other times you will need to create the transaction with data from an existing policy or transaction.

The Create Transaction menu presents two choices, Create New Policy, and Create Txn from Existing Policy, with transaction code sub-choices for each.

Create New Policy

- 01 – New Policy
- 02 – Renewal Policy
- 15 – New Policy Txn Adding MA
- 16 – Issue Notice

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Create Txn from Existing Policy

- 01 – New Policy
- 02 – Renewal Policy
- 03 – Endorsement
- 01 – Annual Rerate Endorsement
- 05 – Cancellation
- 02 – Reinstatement
- 03 – Policy Replacement due to Key Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to NonRating Change
- 14 – Policy Replacement due to Misc Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy
- 16 – Issue Notice
- 17 – Noncompliance/Compliance

Note: The Create Txn from Existing Policy sub-choices will be restricted based on the policy or transaction that you are currently viewing.

When you choose one of the Create New Policy options, the Transaction Detail page appears with no values. When you choose one of the Create Txn from Existing Policy options, the Transaction Detail page appears with certain values from the transaction or policy that you are currently viewing.

Transaction Code 01 – New Policy

Transaction Code 01 is used for creation of a new policy that is the first policy issued to the insured entity by the insurance company or group. That is, the policy is new business to the carrier.

If you create the transaction from an existing policy, you must be viewing a Validated or Submitted transaction, with one of the following Transaction Codes:

- 02 – Renewal Policy
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy
- 16 – Coverage Notice/Binder

If you are viewing a transaction without one of the Transaction Codes listed above, the 01 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

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To create a new transaction, perform the following steps:

1. Select Create Transaction > Create New Policy > 01 - New Policy.

OR

View a valid Validated or Submitted transaction (as listed above) and select Create Transaction > Create Txn from Existing Policy > 01 - New Policy.

The Key Data dialog appears. Specify a Carrier Code by selecting it from the drop-down list, enter values in the Policy Number, Policy Effective Date, and Issue Date fields, and click Save.

2. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatements, Noncompliance, Manage USR, and WCRATINGS.

On each of the available tabs, enter the required information. Refer to “Modifying Policy Data” for details about each tab.

3. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create New Policy sub-choice allows you to create a transaction that has a policy effective date that is within 6 years, of the current date. The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

Transaction Code 02 – Renewal Policy

Transaction Code 02 is used to create a *renewal policy*, which is the second or any subsequent policy issued to a particular insured by the insurance company or group. At the expiration of the prior policy, the coverage is renewed.

If you create the transaction from an existing policy, you must be viewing a processed policy or viewing a Validated or Submitted transaction, with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 06- Policy Replacement due to Key Field Change

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- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy
- 16 – Coverage Notice/Binder

If you are viewing a transaction without one of the Transaction Codes listed above, the 02 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

Note: If you create the transaction from an existing policy or Validated or Submitted transaction, the Prior Policy Number field is automatically set to the Policy Number value from the existing policy or transaction, and the Policy Effective Date is automatically set to the Policy Expiration Date value from the existing policy or transaction.

To create a new transaction, perform the following steps:

1. Select Create Transaction > Create New Policy > 02 - Renewal Policy.

OR

View a processed policy or a valid Validated transaction or a Submitted transaction (as listed above) and select Create Transaction > Create Txn from Existing Policy > 02 - Renewal Policy.

The Key Data dialog appears. Specify a Carrier Code by selecting it from the drop-down list, enter values in the Policy Number, Policy Effective Date, and Issue Date fields, and click Save.

2. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatements, Noncompliance, Manage USR, and WCRATINGS.

On each of the available tabs, enter the required information. Refer to Modifying Policy Data for details about each tab.

3. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create New Policy sub-choice allows you to create a transaction that has a policy effective date that is within 6 years, of the current date. The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the

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current date. However, the Create Txn from Existing Policy will only allow you to create a transaction from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

Transaction Code 03 – Individual Endorsement Records

This transaction should be used to add one or more endorsements to an existing policy. Only endorsements with variable or extension data can be added.

To create an 03 Transaction, you must be viewing a processed policy or viewing a Validated or Submitted transaction, with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 03 – Individual Endorsement Records
- 06- Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy

If you are viewing a transaction without one of the Transaction Codes listed above, the 03 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

Note: When you create a new 03 Transaction, only data from the Policy Header is copied to the new transaction. No existing endorsements will be listed on the Endorsements tab.

To create a new transaction, perform the following steps:

1. View a processed policy or a valid Validated or Submitted transaction (as listed above).
2. Select Create Transaction > Create Txn from Existing Policy > 03 – Endorsement.

Note: If you are creating this transaction from a processed policy with a Status of Canceled Flat, you will be warned of this and prompted to continue. If you answer No to the prompt, the transaction creation will be canceled.

The Key Data dialog appears. All fields are read-only except Issue Date. Specify Issue Date and click Save.

3. The Transaction Detail page appears. Two tabs are enabled: Endorsements and Transaction History. You cannot navigate to any of the other tabs.

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On the Endorsements tab, add one or more endorsements and if applicable, enter the endorsement effective date. Each endorsement you add must contain variable or extension data.

Refer to “Endorsements” in the “Modifying Policy Data” section for details about adding endorsements.

4. If you have entered all required data on each endorsement, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy that has a policy effective date that is within 3 years, of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

Transaction Code 04 – Annual Rerate Period Data

This transaction should be used to update premium and exposure data for the second or third period, either for a policy that is issued to be 3 years in length with annual rerates, or for a policy that extends longer than a one year and 16 days period.

To create an 04 Transaction, you must be viewing a processed policy or viewing a Validated or Submitted transaction, with one of the following Transaction Codes, and the policy or transaction Policy term Code must be 5 - Three Year Variable (first year), 6 – Three Year Variable (second year), 7 – Three Year Variable (third year) or 8 - Other.

- 01 – New Policy
- 02 – Renewal Policy
- 04 – Annual Rerate Period Data
- 06- Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy

If you are viewing a transaction without one of the Transaction Codes listed above, or if the policy or transaction does not have Policy term Code set to 5 - Three Year Variable (first year), 6 – Three Year Variable (second year), 7 – Three Year Variable (third year) or 8 – Other, the 04 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

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When you create a new 04 Transaction, all data is copied from the viewed policy or transaction into the new transaction except the following:

- Policy Effective Date
- Policy Expiration Date
- Policy Term Code
- Policy Estimated Standard Premium Total

Instead of getting these four values from the policy-level data in the current policy or transaction, the values are copied into the new transaction from the WC000405 endorsement, selecting data for the policy period you specify (see Step 3 below). To create a new transaction, perform the following steps:

1. View a processed policy or a valid, Validated or Submitted transaction (as listed above).
2. Select Create Transaction > Create Txn from Existing Policy > 04 – Annual Rerate Endorsement. A dialog box prompts you to specify which period is to be rerated.

Note: If you are viewing a policy or transaction that does not have a WC000405 endorsement (or if the endorsement does not have a period 2 or 3 specified), you will be warned of this and prompted to submit a Policy Replacement or a midterm Endorsement to correct the WC000405 endorsement issue. You can then wait for the correction to be processed. Or, if you create a Policy Replacement, you can create the Transaction Code 04 from the Validated or Submitted Policy Replacement Transaction.

Note: If you are viewing a processed policy with a Status of Canceled or Canceled Flat, you will be warned of this and prompted to continue. If you answer No to the prompt, the transaction creation will be canceled.

3. Select either the 2nd policy period or the 3rd policy period (as defined in the WC000405 endorsement).

After you click OK, the Key Data dialog appears. All fields are read-only except Issue Date. Specify Issue Date and click Save.

4. The Transaction Detail page appears. All tabs are enabled except Cancellations/Reinstatement, Compliance/Noncompliance, Manage USR, and WCRATINGS.
5. Enter the Policy Estimated Standard Premium Total; add, modify or remove state premium records; and add, modify or remove exposure records.

For details, refer to “Premium” and “Exposure” in the “Modifying Policy Data” section.

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6. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years, of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

Transaction Code 05 – Cancellation/Reinstatement

Transaction Code 05 is used to end or restart coverage provided by a policy, resulting in either the cancellation of an Active policy, the reinstatement of a Cancelled policy, the nonrenewal of an Active or Reinstated policy.

There is one Transaction Code for policy cancellation and reinstatement, but there are two selections in the Create Txn from Existing Policy menu. You can select either 05 Cancellation or 05 Reinstatements, depending on the record you are viewing.

Note: A Cancellation record can also be added when creating an 06 Transaction (a Policy Key Data change). The procedure for adding a Cancellation record in an 06 transaction is the same as when creating an 05 transaction.

Cancellation

To create an 05 Cancellation Transaction, you must be viewing a processed policy or viewing a Validated or Submitted transaction with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 05 – Cancellation/Reinstatement
- 06- Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy
- 16 – Coverage Notice/Binder

If you are viewing a transaction without one of the Transaction Codes listed above, the 05 Cancellation option will not be enabled in the Create Txn from Existing Policy menu.

To create a new transaction, perform the following steps:

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1. View a processed policy or a valid, Validated or Submitted transaction (as defined above).
2. Select Create Transaction > Create Txn from Existing Policy > 05 – Cancellation.

Note: If the current status of the policy is Cancelled, Cancelled Flat, or Non-renewal, you will be warned of this and prompted to continue. If you answer No to the prompt, the transaction creation will be canceled.

The Key Data dialog appears. All fields are read-only except Issue Date. Specify Issue Date and click Save.

3. The Transaction Detail page appears. Only the Cancellations/ Reinstatement tab and the Transaction History tab are enabled. All other tabs are disabled.

On the Cancellation /Reinstatements tab, enter Cancellation data. For details, refer to “Cancellations/Reinstatements” in the “Modifying Policy Data” section.

4. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years, of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

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Reinstatement

To create an 05 Reinstatement Transaction, you must be viewing a processed policy, with status Cancelled or Nonrenewed.

To create a new transaction, perform the following steps:

1. View a processed policy (as defined above).
2. The Transaction Detail page appears. Only the Cancellations/Reinstatement tab and the Transaction History tab are enabled. All other tabs are disabled.

On the Cancellations/Reinstatements tab, enter Reinstatement data. For details, refer to “Cancellations/Reinstatements” in the “Modifying Policy Data” section.

3. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years, of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

Transaction Code 06 – Policy Replacement due to Key Change

Transaction Code 06 is used to replace a policy with a new one, due to changes in one of the Policy Key Data fields (Carrier, Policy Number, and Policy Effective Date), which is the information that uniquely identifies a policy.

To create an 06 Transaction, you must be viewing a processed policy or viewing a Validated or Submitted transaction, with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy

If you are viewing a transaction without one of the Transaction Codes listed above, the 06 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

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Note: When you create a new transaction, the Original Carrier Code, Original Policy Number Identifier, and Original Policy Effective Date fields will be automatically filled in using values from the existing policy.

To create a new transaction, perform the following steps:

1. View a processed policy or a valid, Validated or Submitted transaction (as listed above).
2. Select Create Transaction > Create Txn from Existing Policy > 06- Policy Replacement due to Key Change.

The Key Data dialog appears. Specify a Carrier Code by selecting it from the drop-down list; enter values in the Policy Number, Policy Effective Date, and Issue Date fields; and Click Save. (For more information about the Policy Key Data fields, refer to “Policy Key Data” in the “Modifying Policy Data” section.)

Manage Policy determines if an 05 Cancellation transaction exists and displays a message prompting you to create one. (The message also identifies the most current Cancellation transaction, if one or more exist.)

If you answer No to the prompt, you can proceed with the 06 transaction, but remember that, in order for the 06 transaction to be successfully processed, you must create the required 05 Cancellation transaction and submit it along with the 06 transaction.

If you answer Yes to the prompt, the Key Data dialog for a new 05 Cancellation transaction appears. After you save the Key Data for the 05 Cancellation transaction, Manage Policy returns you to the 06 transaction. Remember that you must submit the required 05 Cancellation transaction if it does not already exist along with the 06 transaction in order for the 06 transaction to be successfully processed.

3. The Transaction Detail page for the 06 transaction appears. All tabs are enabled except Cancellations/Reinstatement, Compliance/Noncompliance, Manage USR, and WCRATINGS.

On the General Information tab, change editable fields as needed.

4. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

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Note: The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years, of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

Transaction Code 08 – Policy Replacement due to Rating Change

Transaction Code 08 is used to replace a policy with a new one, due to changes in any aspect of the policy other than Policy Key Data changes that pertains to or results in a change to the premium.

To create a 08 Transaction, you must be viewing a processed policy or viewing a Validated or Submitted transaction, with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 06- Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy

If you are viewing a transaction without one of the Transaction Codes listed above, the 08 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

To create a new transaction, perform the following steps:

1. View a processed policy or a valid Validated or Submitted transaction (as listed above).
2. Select Create Transaction > Create Txn from Existing Policy > 08 - Policy Replacement due to Rating Change.

Note: If you are viewing a processed policy with a Status of Canceled or Canceled Flat, you will be warned of this and prompted to continue. If you answer No to the prompt, the transaction creation will be canceled.

The Key Data dialog appears. All fields are read-only except Issue Date. Specify Issue Date and click Save.

3. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatement, Compliance/Noncompliance, Manage USR, and WCRATINGS.

Note: The Create Txn from Existing Policy sub-choice allows you to create a

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transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years, of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

On each of the available tabs, enter the required information. Refer to “Modifying Policy Data” for details about each tab.

4. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Transaction Code 10 – Policy Replacement due to NonRating Change

Transaction Code 10 is used to replace a policy with a new one, due to changes in any aspect of the policy other than Policy Key Data changes and rating changes.

To create a 10 Transaction, you must be viewing a processed policy or viewing a Validated or Submitted transaction, with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 06- Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy

If you are viewing a transaction without one of the Transaction Codes listed above, the 10 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

To create a new transaction, perform the following steps:

1. View a processed policy or a valid Validated or Submitted transaction (as listed above).
2. Select Create Transaction > Create Txn from Existing Policy > 10 - Policy Replacement due to NonRating Change.

Note: If you are viewing a processed policy with a Status of Canceled or Canceled Flat, you will be warned of this and prompted to continue. If you answer No to the prompt, the transaction creation will be canceled.

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The Key Data dialog appears. All fields are read-only except Issue Date. Specify Issue Date and click Save.

3. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatement, Compliance/Noncompliance, Manage USR, and WCRATINGS.

On each of the available tabs, enter the required information. Refer to “Modifying Policy Data” for details about each tab.

4. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years, of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

Transaction Code 14 – Policy Replacement due to Misc Change

Transaction Code 14 is used to replace a policy with a new one, due to any changes to the policy except changes in Policy Key Data fields (Carrier Code, Policy ID Number, and Policy Effective Date). A replacement due to miscellaneous changes can be also used for ratings and non-rating changes

To create a 14 Transaction, you must be viewing a processed policy or viewing a Validated or Submitted transaction, with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 06 – Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy

If you are viewing a transaction without one of the Transaction Codes listed above, the 14 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

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To create a new transaction, perform the following steps:

1. View a processed policy or a valid, Validated or Submitted transaction (as listed above).
2. Select Create Transaction > Create Txn from Existing Policy > 14 - Policy Replacement due to Misc Change.

Note: If you are viewing a processed policy with a Status of Canceled or Canceled Flat, you will be warned of this and prompted to continue. If you answer No to the prompt, the transaction creation will be canceled.

The Key Data dialog appears. All fields are read-only except Issue Date. Specify Issue Date and click Save.

3. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatement, Compliance/Noncompliance, Manage USR, and WCRATINGS.

On each of the available tabs, enter the required information. Refer to “Modifying Policy Data” for details about each tab.

4. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years, of the current date. (Reminder: A “Processed Policy” is the current view of the policy, as it exists in the DCO’s policy system.)

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Transaction Code 15 – Policy Replacement to Add/Delete States to Existing MA Policy

Transaction Code 15 is used to replace a policy with a new one, due to inclusion or exclusion of states in the list of states covered by the policy.

If you create the transaction from an existing policy, you must be viewing a processed policy or viewing a Validated or Submitted transaction, with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 06 – Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy

If you are viewing a transaction without one of the Transaction Codes listed above, the 15 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

To create a new transaction, perform the following steps:

1. To notify MA that MA is being added to a policy, select Create Transaction > Create New Policy > 15 - New Policy Txn Adding MA

OR

To add or delete states other than MA view a processed policy or a valid, Validated or Submitted transaction (as listed above) and select Create Transaction > Create Txn from Existing Policy > 15 - Policy Replacement to Add/Delete States to Existing MA Policy.

Note: If you are viewing a processed policy with a Status of Canceled or Canceled Flat, you will be warned of this and prompted to continue. If you answer No to the prompt, the transaction creation will be canceled.

The Key Data dialog appears. If you created the transaction using the Create New Policy menu, specify a Carrier Code by selecting it from the drop-down list, enter values in the Policy Number, Policy Effective Date, and Issue Date fields, and click Save. If you create the transaction from an existing policy, you will only need to set Issue Date and click Save.

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2. The Transaction Detail page appears.

All tabs are enabled except Cancellations/Reinstatement, Compliance/Noncompliance, Manage USR, and WCRATINGS.

3. On the General Information tab, add or remove states from the list.
4. On each of the other available tabs, enter the required information. Refer to Modifying Policy Data for details about each tab.
5. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create New Policy sub-choice allows you to create a transaction that has a policy effective date that is within 6 years, of the current date. The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years of the current date. (Reminder: A “Processed Policy” is the current view of the policy as it exists in the DCO’s policy system.)

Transaction Code 16 – Issue Notice

Transaction Code 16 is used to notify the coverage entity (either an industrial accident board or the DCO) that Workers Compensation coverage has been issued. The notice includes the Policy ID Number, the coverage dates, and other basic policy information.

If you create the transaction from an existing policy, you must be viewing a processed policy or viewing a Validated or Submitted transaction with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy
- 16 – Coverage Notice/Binder

If you are viewing a transaction without one of the Transaction Codes listed above, the 16 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

MANAGE POLICY USER GUIDE

To create a new transaction, perform the following steps:

1. Select Create Transaction > Create New Policy > 16 – Issue Notice.

OR

View a processed policy or a valid, Validated or Submitted transaction (as listed above) and select Create Transaction > Create Txn from Existing Policy 16 – Issue Notice.

The Key Data dialog appears. If you created the transaction using the Create New Policy menu, specify a Carrier Code by selecting it from the drop-down list, enter values in the Policy Number, Policy Effective Date, and Issue Date fields, and click Save. If you create the transaction from an existing policy, you will only need to enter the Carrier ID, Policy Number, Policy Effective Date, Transaction Issue Date and click Save.

2. The Transaction Detail page appears. Only the General Information tab, Insured Names tab, Addresses tab, and the Transaction History tab are enabled. All other tabs are disabled.

Enter data on the General Information tab, Insured Names tab, and Addresses tab.

3. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create New Policy sub-choice allows you to create a transaction that has a policy effective date that is within 6 years, of the current date. The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years of the current date. (Reminder: A “Processed Policy” is the current view of the policy as it exists in the DCO’s policy system.)

MANAGE POLICY USER GUIDE

Transaction Code 17 – NonCompliance/Compliance

Transaction Code 17 is used to notify the DCO that the insured has either not met or has rectified a former failure to meet the provisions of the policy. It can be used to create a *Noncompliance transaction* or a *Compliance transaction*. A Noncompliance transaction results in changing a compliant policy to noncompliant. A Compliance transaction results in the reversal of a previously submitted Noncompliance transaction.

To create a 17 Transaction, you must be viewing a processed policy or viewing a Validated transaction, with one of the following Transaction Codes:

- 01 – New Policy
- 02 – Renewal Policy
- 06 – Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – Policy Replacement to Add/Delete States to Existing MA Policy
- 16 – Coverage Notice/Binder
- 17 – Noncompliance or Compliance of Policy Terms and Conditions

If you are viewing a transaction without one of the Transaction Codes listed above, the 17 Transaction Code will not be enabled in the Create Txn from Existing Policy menu.

Note: You will only be able to create a Compliance transaction, from a Processed Policy that has an unresolved Noncompliance. (Reminder: A “Processed Policy” is the current view of the policy as it exists in the DCO’s policy system.)

To create a new transaction, perform the following steps:

1. View a processed policy or a valid, Validated or Submitted transaction (as listed above).
2. Select Create Transaction > Create Txn from Existing Policy > 17 – Noncompliance/Compliance.

The Key Data dialog appears. All fields are read-only except Issue Date. Specify Issue Date and click Save.

3. Transaction Detail page appears. Only the Noncompliance tab and the Transaction History tab are enabled. All other tabs are disabled.

On the Noncompliance tab, enter compliance or noncompliance data. For details, refer to “Noncompliance” in the “Modifying Policy Data” section.

MANAGE POLICY USER GUIDE

Note: If you created the transaction from a processed policy with the Canceled Flat status, you cannot create a Noncompliance record.

4. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years, of the current date. (Reminder: a “Processed Policy” is the current view of the policy as it exists in the DCO’s policy system.)

MANAGE POLICY USER GUIDE

MODIFYING POLICY DATA

When you create a new transaction or when you edit an In Progress or Validated transaction, the Transaction Detail page allows you to enter or modify data for the transaction. Some data will be editable and some will be read-only, based on the Transaction Code.

Type of Transaction: 08		Transaction Status: In Progress		Print
Carrier: 77777	Policy: WC78910	Primary Name: ABCDE CORP		
Effective Date: 06/15/2010	Issue Date: 07/02/2010	Update Key Data		
Last Validated: M. Full Access 11/10/2010				
There are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information.				Validate Delete Back to Prev
Information Page	Header Information			
Insured Names	Policy Exp Date:*	06/15/2011	Interstate Risk ID:	
Addresses	Producer Name:	EFG INS AGCY	Business Segment ID:	
Premium	Prior Policy Number:	WC78909	Policy Term Code:*	1 - Standard one-year
Exposure	Legal Nature Code:*	03 - Corporation	Other Legal Nature:	
Endorsements	Experience Rating Code:*	3 - Intrastate rated only	Type of Plan ID Code:*	1 - Voluntary Policy
Cancellations/ Reinstatements	Wrap-Up/OCIP Code:*	2 - Non-Wrap-Up/OCIP Policy	Type of Coverage ID Code:*	01 - Standard Workers Compensation Policy
Noncompliance	Employee Leasing Type:*	1 - Non-Employee Leasing Policy	Retro Rating Code:*	3 - Not Retrospective Rated
Transaction History	Employer Liability Limits Amounts			
ManageUCR	Other Bodily injury by Accident - Each Accident Amount:*	500,000		
WC RATINGS	Other Bodily Injury by Disease - Policy Limit Amount:*	1,000,000		
	Other Bodily Injury by Disease - Each Employee Amount:*	500,000		
	Premium			
	Deposit Prem Amount:	5,000	Policy Est Std Prem Total:*	14,039
	Policy Min Prem Amount:*	256	Min Prem State Code:*	MA
	3A/3C States			

A number of tabs are displayed down the left side of the page, each corresponding to a different category of policy data. The Key Data dialog and all tabs that display editable policy data are described in this section.

MANAGE POLICY USER GUIDE

Policy Key Data

Policy Key Data fields (Carrier, Policy Number, and Policy Effective Date) are fields that uniquely identify a policy.

When you create a new transaction, the Key Data dialog box appears, prompting you to enter the information. In an existing transaction, these fields appear as read-only data in the Policy Header at the top of the Transaction Detail page. The values may be editable depending on the Transaction Code; you can click the Update Key Data button to access the Key Data dialog box.

Type of Transaction: 01	Transaction Status: In Progress		Print
Carrier: 77776	Policy: WC598	Primary Name: SOME CORP	
Effective Date: 05/05/2009	Issue Date: 05/05/2009		
Update Key Data			
Last Validated: M. Full Access 11/08/2010			
		Validate	Delete Back to Prev

For the following Transaction Codes, you can enter or edit Policy Key Data values:

- 01 – New Policy
- 02 – Renewal Policy
- 06 – Policy Replacement due to Key Field Change
- 15 – New policy Txn Adding MA
- 16 – Issue Notice

For all other types of transactions, the Key Data dialog box allows you to edit the Issue Date field only.

After you have entered Policy Key Data values and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Note: The Create New Policy sub-choice allows you to create a transaction that has a policy effective date that is within 6 years, of the current date. The Create Txn from Existing Policy sub-choice allows you to create a transaction, from a Validated or Submitted transaction that has a policy effective date that is within 6 years, of the current date. However, the Create Txn from Existing Policy will only allow you to create a transaction, from a Processed Policy, if the Processed Policy has a policy effective date that is within 3 years of the current date. (Reminder: A “Processed Policy” is the current view of the policy as it exists in the DCO’s policy system.)

MANAGE POLICY USER GUIDE

General Information/Information Page

When you create or edit a transaction, the Information Page tab will allow you to enter data in some or all of the fields, depending on the Transaction Code.

The screenshot displays the 'General Information/Information Page' for a transaction. At the top, it shows 'Type of Transaction: 08' and 'Transaction Status: In Progress'. Below this, key information is listed: 'Carrier: 77777', 'Policy: WC78910', 'Primary Name: ABCDE CORP', 'Effective Date: 06/15/2010', and 'Issue Date: 07/02/2010'. A red message states: 'Last Validated: M. Full Access 11/10/2010. There are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information.' Buttons for 'Update Key Data', 'Validate', 'Delete', and 'Back to Prev' are visible. The left sidebar contains a list of tabs: 'Information Page' (selected), 'Insured Names', 'Addresses', 'Premium', 'Exposure', 'Endorsements', 'Cancellation/Reinstatement', 'Noncompliance', 'Transaction History', 'Manage LCR', and 'WORKINGS'. The main content area is divided into sections: 'Header Information' (with fields for Policy Exp Date, Producer Name, Prior Policy Number, Legal Nature Code, Experience Rating Code, Wrap-Up/OCIP Code, Employee Leasing Type, Interstate Risk ID, Business Segment ID, Policy Term Code, Other Legal Nature, Type of Plan ID Code, Type of Coverage ID Code, and Retro Rating Code), 'Employer Liability Limits Amounts' (with fields for Other Bodily Injury by Accident, Other Bodily Injury by Disease - Policy Limit, and Other Bodily Injury by Disease - Each Employee Amount), 'Premium' (with fields for Deposit Prem Amount, Policy Est Std Prem Total, Policy Min Prem Amount, and Min Prem State Code), and '3A/3C States'.

For the following Transaction Codes, the entire General Information tab is disabled:

- 03 – Individual Endorsement Records
- 05 – Cancellation/Reinstatement
- 17 – Noncompliance or Compliance of Policy Terms and Conditions

For Transaction 16, the Limits of Liability, Premium and 3A/3C, sections are read-only

For the following Transaction Codes, all fields on the General Information tab are editable:

- 01 – New Policy
- 02 – Renewal Policy
- 04 – Annual Rerate Period Data
- 06 – Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change
- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – New Policy Txn Adding MA Mid-Term

The field requirements (and in some cases, the fields that display) vary based on the Transaction Code. Such rules exist for various Transaction Codes, and are

MANAGE POLICY USER GUIDE

enforced by the application.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Insured Names

When you create or edit a transaction, the Insured Names tab will allow you to add, edit, and delete Name records, depending on the Transaction Code and whether you are creating a new policy or creating the transaction from an existing policy.

Type of Transaction: 01 Transaction Status: In Progress Print

Carrier: 77776 Policy: WC598 Primary Name: SOME CORP
Effective Date: 05/05/2009 Issue Date: 05/05/2009
[Update Key Data](#)

Last Validated: M, Full Access 11/08/2010 [Validate](#) [Delete](#) [Back to Prev](#)

Insured Names *Indicates Primary Name*

	Insured Name	FEIN	Name Link ID	Cont. Seq#	PEO Indicator	Chg Eff Date	Chg Exp Date
EDIT DELETE	✓ SOME CORP	989284298	001	001			

Enter the information below and then click Save

Primary Name: * No ▾

Name of Insured: *

Federal Employer ID Number (FEIN):

PEO or Client Company Code: ▾

[Save](#) [Cancel](#)

Information Page
Insured Names
Addresses
Premium
Exposure
Endorsements
Cancellation/Reinstatement
Noncompliance
Transaction History
Miscellaneous

Internet

For the following Transaction Codes, the entire Name tab is disabled:

- 03 – Individual Endorsement Records
- 05 – Cancellation/Reinstatement
- 17 – Noncompliance or Compliance of Policy Terms and Conditions

For all other Transaction Codes, you can add, edit, and delete Name records, with some restrictions:

- Depending on the Transaction Code and whether it was created using the Create New Policy menu or the Create Txn from Existing Policy menu, there are restrictions on the number of Name records you can specify as Primary Insured Names (as defined in the Primary Name field). These restrictions are enforced by the application.
- When you attempt to delete a Primary Name record that is linked to an Address, the deletion is not allowed; a message explains that you must first re-link the Address record to a different Name record.

MANAGE POLICY USER GUIDE

The Insured Names tab supports the creation of multiple records. For details about how to add, edit, and delete records, refer to “Multi-record Tabs” in the “Viewing and Editing Transaction Data” section.

The field requirements (and in some cases, the fields that display) vary based on the Transaction Code. Such rules exist for various Transaction Codes, and are enforced by the application.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then

click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Addresses

When you create or edit a transaction, the Addresses tab will allow you to add, edit and delete Address records, depending on the Transaction Code and whether it was created using the Create New Policy menu or the Create Txn from Existing Policy menu.

Type of Transaction: 01 Transaction Status: In Progress Print

Carrier: 77776 Policy: WC598 Primary Name: SOME CORP
Effective Date: 05/05/2009 Issue Date: 05/05/2009 Update Key Data

Last Validated: M, Full Access 11/08/2010 Validate Delete Back to Prev

Address	Name Link ID	Foreign Address	Country Code	Geographic Area	Type	Chg Eff Date	Chg Exp
123 MAIN ST SOMETOWN, MA 222223333	SOME CORP	N			Mailing address of insured		
234 MARKET ST SOMETOWN, MA 222223333		N			Address of insurer issuing/servicing office		
433 MAIN ST SOMETOWN, MA 222223333		N			Producer Address		

Enter the information below and then click Save

For Type of Address code 2 - Location of operations, only enter MA addresses.

Type of Address Code: Foreign Address Code: Address Structure Code: City: Zip Code: State Code: Geographic Area: Country Code:

Save Cancel

For the following Transaction Codes, the entire Address tab is disabled:

- 03 – Individual Endorsement Records
- 05 – Cancellation/Reinstatement
- 17 – Noncompliance or Compliance of Policy Terms and Conditions

MANAGE POLICY USER GUIDE

For all other Transaction Codes, you can add, edit, and delete Address records. Depending on the Transaction Code and whether the transaction was created using the Create New Policy menu or the Create Txn from Existing Policy menu, there are restrictions on the number of Address records you can create of a given type (as defined in the Type of Address Code field). These restrictions are enforced by the application.

The Addresses tab supports the creation of multiple records. For details about how to add, edit, and delete records, refer to “Multi-record Tabs” in the “Viewing and Editing Transaction Data” section.

The field requirements (and in some cases, the fields that display) vary based on the Transaction Code. Such rules exist for various Transaction Codes, and are enforced by the application.

Note: The Name Link column in the Addresses grid is a link to the corresponding Name record. When you click a link, the Insured Names tab displays with the Name you clicked selected in the grid.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Premium

When you create or edit a transaction, the Premium tab will allow you to add, edit and delete Premium records, depending on the Transaction Code. Manage Policy only supports entry of Massachusetts state premium records. If the policy is multi-state, the premium records are not required and the additional state codes should be entered in sections 3A and 3C on the General Information tab.

MANAGE POLICY USER GUIDE

The screenshot displays the 'Manage Policy' application interface. At the top, it shows 'Type of Transaction: 01' and 'Transaction Status: In Progress'. Below this, key information is listed: 'Carrier: 77776', 'Policy: WC598', 'Primary Name: SOME CORP', 'Effective Date: 05/05/2009', and 'Issue Date: 05/05/2009'. A 'Print' button is in the top right. A 'Last Validated: M, Full Access 11/08/2010' message is on the left. A 'Validate' button is on the right. Below the header, a table lists premium records. The table has columns: Carrier, DCO Risk ID, Est State Std Prem, Exp Mod, Exp Mod Eff Date, Anniversary Rating Date, All Risk Adjustm Factor, Expense Constant, Premium Discount, Loss Constant, and Type of Prem Deviation. The first record shows a premium of \$55,522 with an experience modification of 1.020. Below the table, a message says 'Enter the information below and then click Save'. The form fields are organized into two columns: Carrier Code, Est State Std Prem Total, Experience Mod Eff Date, All Risk Adjustment Factor, Premium Discount, and Type of Prem Deviation Code on the left; and DCO Risk ID, Experience Mod Rating Factor, Anniversary Rating Date, Expense Constant, and Loss Constant on the right. 'Save' and 'Cancel' buttons are at the bottom right.

Carrier	DCO Risk ID	Est State Std Prem	Exp Mod	Exp Mod Eff Date	Anniversary Rating Date	All Risk Adjustm Factor	Expense Constant	Premium Discount	Loss Constant	Type of Prem Deviation
		\$55,522	1.020				\$338		-\$355	4

For the following Transaction Codes, the entire Premium tab is disabled:

- 03 – Individual Endorsement Records
- 05 – Cancellation/Reinstatement
- 16 – Coverage Notice/Binder
- 17 – Noncompliance or Compliance of Policy Terms and Conditions

For all other Transaction Codes, you can add, edit, and delete Premium records

The Premium tab supports the creation of multiple records. For details about how to add, edit, and delete records, refer to “Multi-record Tabs” in the “Viewing and Editing Transaction Data” section.

The field requirements (and in some cases, the fields that display) vary based on the Transaction Code. Such rules exist for various Transaction Codes, and are enforced by the application.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

MANAGE POLICY USER GUIDE

Exposure

When you create or edit a transaction, the Exposure tab will allow you to add, edit and delete Exposure records, depending on the Transaction Code

Type of Transaction: 01 Transaction Status: In Progress [Print](#)

Carrier: 77776 Policy: WC598 Primary Name: SOME CORP
Effective Date: 05/05/2009 Issue Date: 05/05/2009 [Update Key Data](#)

Last Validated: M, Full Access 11/08/2010 [Validate](#) [Delete](#) [Back to Prev](#)

Information Page

Insured Names

Addresses

Premium

Exposure

Endorsements

Cancellation/Reinstatement

Noncompliance

Transaction History

Manage UCR

WC RATINGS

Exposure

	Class Code	Phraseology	Est Exposure Amount	Manual Rate	Est Prem Amount	Expo Period Eff Date	Expo Act	Eff Date	Ex
EDIT DELETE	5403	CARPENTRY NOC	\$50,000	4.55	\$22,750		01		
EDIT DELETE	8810	CLERICAL OFFICE EMPLOYEES ...	\$175,000	0.12	\$210		01		

Enter the information below and then click Save

Only enter MA exposures.

Classification Code: Est Exposure Amount:

Manual/Charge Rate: Est Prem Amount:

Exposure Period Eff Date: Expo Act/Expo Coverage Code:

[Save](#) [Cancel](#)

For the following Transaction Codes, the entire Exposure tab is disabled:

- 03 – Individual Endorsement Records
- 05 – Cancellation/Reinstatement
- 16 – Coverage Notice/Binder
- 17 – Noncompliance or Compliance of Policy Terms and Conditions

For all other Transaction Codes, you can add, edit, and delete Exposure records, with some restrictions:

Note: You cannot delete the last Exposure record. If only one record exists, the Delete button will not be displayed for that record.

The Exposure tab supports the creation of multiple records. For details about how to add, edit, and delete records, refer to “Multi-record Tabs” in the “Viewing and Editing Transaction Data” section.

The field requirements (and in some cases, the fields that display) vary based on the Transaction Code. Such rules exist for various Transaction Codes, and are enforced by the application.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

MANAGE POLICY USER GUIDE

Endorsements

When you create or edit a transaction, the Endorsements tab will allow you to add, edit and delete endorsement records, depending on the Transaction Code.

The screenshot shows the 'Endorsements' tab in a software application. At the top, it displays 'Type of Transaction: 01' and 'Transaction Status: In Progress'. Below this, it shows 'Carrier: 77776', 'Policy: WC598', and 'Primary Name: SOME CORP'. It also includes 'Effective Date: 05/05/2009' and 'Issue Date: 05/05/2009'. A 'Last Validated' date of 'M, Full Access 11/08/2010' is shown. There are buttons for 'Update Key Data', 'Validate', 'Delete', and 'Back to Prev'. On the left, a sidebar contains navigation links: 'Information Page', 'Insured Names', 'Addresses', 'Premium', 'Exposure', 'Endorsements' (selected), 'Cancellation/Reinstatement', 'Noncompliance', 'Transaction History', 'Manage User', and 'Workflows'. The main area is titled 'Endorsements' and contains a table with columns: 'Endorsement Number', 'Endorsement Name', 'Eff Date', and 'Exp Date'. The table lists several endorsements, including 'Alternate Employer', 'Limits of Liability', 'Assessment Charge', 'Notice to Policy Holder', 'Premium When Due', and 'Cancellation'. Below the table, there is a section for adding new endorsements, with a prompt 'Enter the information below and then click Save.' and a note 'Only add the endorsements (national and state) that apply to MA.' This section includes a list of endorsement numbers and names, such as 'WC000101A Defense Base Act Coverage' and 'WC000101B Defense Base Act Coverage'.

Endorsement Number	Endorsement Name	Eff Date	Exp Date
WC000301	Alternate Employer	05/05/2009	
WC200301	Limits of Liability	05/05/2009	
WC200302	Assessment Charge	05/05/2009	
WC200303	Notice to Policy Holder	05/05/2009	
WC200405	Premium When Due	05/05/2009	
WC200601	Cancellation	05/05/2009	

Endorsement Number	Endorsement Name
<input type="checkbox"/> WC000101A	Defense Base Act Coverage
<input type="checkbox"/> WC000101B	Defense Base Act Coverage
<input type="checkbox"/> WC000102	Federal Coal Mine Health and Safety Act Coverage
<input type="checkbox"/> WC000104	Federal Employers' Liability Act Coverage
<input type="checkbox"/> WC000104A	Federal Employers' Liability Act Coverage

For the following Transaction Codes, the entire Endorsements tab is disabled:

- 05 – Cancellation/Reinstatement
- 16 – Coverage Notice/Binder
- 17 – Noncompliance or Compliance of Policy Terms and Conditions

For all other Transaction Codes, you can view, add, edit, and delete endorsement records, with some restrictions:

- For Transaction Code 03, only endorsement records added in the transaction are listed. (These records can be edited and deleted).
- For Transaction Code 03, you can only add endorsements with variable data.

The Endorsements tab supports the creation of multiple records, but it has slightly different behavior than other multi-record tabs when adding, editing, and deleting records. Refer to “Adding, Editing, and Deleting Endorsement Records” for more information.

The field requirements, ability to edit, (and in some cases, the fields that display) vary based on the Transaction Code. Such rules exist for various Transaction Codes, and are enforced by the application.

MANAGE POLICY USER GUIDE

ADDING, EDITING, AND DELETING ENDORSEMENT RECORDS

The Endorsements tab supports the creation of multiple records, but it has slightly different behavior than other multi-record tabs when adding, editing, and deleting records.

Endorsements

	Endorsement Number	Endorsement Name	Eff Date	Exp Date
DETAILS	WC200301	Limits of Liability	06/05/2008	06/05/2009
DETAILS	WC200302	Assessment Charge	06/05/2008	06/05/2009
DETAILS	WC200303	Notice to Policy Holder	06/05/2008	06/05/2009
DETAILS	WC200405	Premium When Due	06/05/2008	06/05/2009
DETAILS	WC200601	Cancellation	06/05/2008	06/05/2009

Enter the information below and then click Save

Endorsements

<input type="checkbox"/>	Endorsement Number	Endorsement Name
<input type="checkbox"/>	WC000101A	Defense Base Act Coverage
<input type="checkbox"/>	WC000101B	Defense Base Act Coverage
<input type="checkbox"/>	WC000102	Federal Coal Mine Health and Safety Act Coverage
<input type="checkbox"/>	WC000104	Federal Employers' Liability Act Coverage
<input type="checkbox"/>	WC000104A	Federal Employers' Liability Act Coverage

Change Eff Date:

Change Exp Date:

[Save](#) [Cancel](#)

You can add one endorsement record or multiple records in a single operation. Select one or more endorsements in the Endorsements list by clicking the checkbox(es) in the list. Specify the date range for the endorsement using the Change Eff Date and Change Exp Date fields, then click the Add button.

Note: For transactions 01, 02, 03, 04 and 06, you will only have the option to enter Change Effective Date, but are not required to do so.

For each selected endorsement that contains variable data, you will be prompted to enter the data. For non-variable endorsements, you will not be prompted to enter additional data. If you need to enter a different Change Effective Date or Change Expiration Date for different endorsements, you will need to select the first set of endorsements to add, enter the dates and click Add. After the addition is complete, select the next set of endorsements to add, entering the different Change Effective/Expiration Dates and continue with the add process.

Note: MA does not require detail on certain variable data endorsements (for example WC000101). For those endorsements, Manage Policy does not provide a means to enter the variable data.

MANAGE POLICY USER GUIDE

For Endorsements WC000301, WC000302, WC000308, WC000310, WC000311, WC000313 and WC200304, the system will display all available data in a grid. When a transaction is created from a policy that contains one of these endorsements, the system will split out the data and spread the record data across as many instances of the endorsement type as are needed to allow you to edit all of the data. If you change the date on one instance of such an endorsement, you need to change the date on all instances of the endorsement.

After you have entered data for all the selected endorsements, a record appears in the grid for each endorsement you added.

Note: You may have specified a Change Effective Date and Change Expiration Date that is correct for most but not all of the endorsements you added. In this case, you can edit the individual records to modify their Change Effective Date and Change Expiration Date. Editing Change Effective Date and Change Expiration Date is allowed for endorsements that require variable data and for endorsements that do not require or allow variable data.

To edit an endorsement record, click the Details button in the corresponding row in the grid. The editable field values for the record will appear in the dialog box that allows you to change the data and navigate to the previous or next endorsement record.

The screenshot shows a software interface for managing policy endorsements. At the top, a header bar displays 'Type of Transaction: 08' and 'Transaction Status: In Progress'. Below this, a summary section shows 'Carrier: 77777', 'Policy: WC78908', and 'Primary Name: ABCDE CORP'. The 'Effective Date' is 06/05/2008 and the 'Issue Date' is 08/13/2010. A button labeled 'Update Key Date' is visible. The main area of the interface is a grid of endorsement records. One record is selected, and a dialog box titled 'WC000402 Anniversary Rating Date Endorsement Details' is open. This dialog box contains a field for 'Anniversary Rating Date' with a dropdown menu showing '07/01/2010'. At the bottom of the dialog box are four buttons: 'Back', 'Next', 'Remove This Endorsement', and 'Close'. The background grid shows several rows of endorsement data with columns for 'Exp. Date' and 'Endorsement'.

When you click the Back button, the Next button, or the Close button, changes you made will be saved. If you click the Remove Endorsement button, the endorsement will be deleted.

To delete a record that is already in the list of endorsements on the policy or has already been added to the list of endorsements, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

MANAGE POLICY USER GUIDE

Note: Certain MA endorsements are required and are automatically added upon creation of a new transaction if they were not on the processed policy. They cannot be deleted from the policy.

Endorsements with no required variable data can only be added by sending a policy replacement transaction 08, 10, 14, not via transaction 03.

Endorsements with required variable data can be added by sending a policy replacement transaction or by sending transaction 03.

Endorsements can only be deleted by sending a policy replacement transaction.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

MANAGE POLICY USER GUIDE

CANCELLATIONS/REINSTATEMENTS

Cancellation/Reinstatement Transactions result in cancellation of an Active policy or the reinstatement of a Cancelled policy. When you create or edit a Transaction 05, the Cancellations/Reinstatements tab displays in either Cancellation mode or Reinstatement mode.

When creating a transaction, the mode will be determined by the menu selection in the Create Transaction menu; you can select either 05 Cancellation or 05 Reinstatements. The mode selected during creation is retained after you save the transaction.

Cancellation

When you choose 05 Cancellation from the Create Transaction menu (or edit a Cancellation transaction), the Transaction Detail page appears with the Cancellations/Reinstatements tab selected. You can add, edit and delete Cancellation records.

The Cancellations/Reinstatements tab displays two grids. The first grid lists all processed Cancellation/Reinstatement transactions associated with the policy. This data is read-only. The second data grid lists unprocessed Cancellation records associated with this transaction.

Type of Transaction: 05 Transaction Status: In Progress [Print](#)

Carrier: 77777 Policy: WC78910A Primary Name: ABCDE CORP
Effective Date: 06/25/2010 Issue Date: 08/25/2010 [Update Key Data](#)

Last Validated: M. Full Access 11/12/2010 [Validate](#) [Delete](#) [Back to Prev](#)

Cancellations/Reinstatements ** No Subsequent Policy Exists **

Processed Cancellations / Reinstatements
This table contains transactions currently stored for this policy in WCRIBMA's internal system.

Canc/Rein ID Code	Eff Date	Received Date	Issue Date	Canc Type Code	Reason For Canc Code	Rein Type Code	Seq Number	Corres
Un-Processed Data								
This table contains transactions that you created during this session that have not been processed and stored by WCRIBMA.								
EDIT	DELETE	Cancellation	09/05/2010	08/25/2010	2	05	0	1

[Enter the information below and then click Save](#)

Cancellation Eff Date: Cancellation Type Code:
Reason for Cancellation Code: Cancellation Txn Seq Number: [Save](#) [Cancel](#)

To add a Cancellation record, enter values in the data entry fields and click the Add button. After validation, the new record is saved and appears in the grid.

To edit a record, click the Edit button in the corresponding row in the grid. The field values for the record will appear in the data entry fields below the grid. Make the desired changes and click the Update button.

MANAGE POLICY USER GUIDE

Note: If you need to enter multiple cancellation records with different Transaction Issue Dates, you will need to save the currently viewed transaction and create a second transaction to enter a different Transaction Issue Date.

If you need to enter multiple cancellation records with the same Transaction Issue Date, you will need to enter the appropriate sequence number so that they can be processed in the appropriate order.

To delete a record, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

Note: When you click the Delete button for a record, you are not deleting the transaction 05. You are only deleting the individual record. To delete the entire transaction 05, click the Delete button in the Header area at the top of the screen.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Reinstatement

When you choose 05 Reinstatements from the Create Transaction menu (or edit a Reinstatements transaction), the Transaction Detail page appears with the Cancellations/Reinstatements tab selected.

The Cancellations/Reinstatements tab displays two grids. The first grid lists all processed Cancellation/Reinstatement transactions associated with the policy. This data is read-only. The second data grid lists unprocessed Reinstatement records associated with this transaction.

Type of Transaction: 05 Transaction Status: In Progress

Carrier: 77777 Policy: WC78909 Primary Name: ABCDE CORP

Effective Date: 06/15/2009 Issue Date: 12/22/2009

Last Validated: M, Full Access 11/12/2010

There are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information.

Validate Delete Back to Prev

Cancellations/Reinstatements ** Subsequent Policy Exists, 06/15/2010 **

Processed Cancellations / Reinstatements

This table contains transactions currently stored for this policy in WCRBMA's internal system.

	Canc/Rein ID Code	Eff Date	Received Date	Issue Date	Canc Type Code	Reason For Canc Code	Rein Type Code
<input type="radio"/>	Cancellation	12/30/2009	10/18/2010	12/13/2009	1	05	
<input type="radio"/>	Reinstatement	12/30/2009	10/26/2010	12/19/2009			2
<input type="radio"/>	Cancellation	01/05/2010	10/26/2010	12/19/2009	1	05	

Un-Processed Data

This table contains transactions that you created during this session that have not been processed and stored by WCRBMA.

	Canc/Rein ID Code	Eff Date	Issue Date	Canc Type Code	Reason For Canc Code	Rein Type Code	Seq Nu
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Enter the information below and then click Save

Select the Cancellation that you want to reinstate from the Transaction History table above

Reinstatement Eff Date: * Corresponding Cancellation Eff Date: *

Reinstatement Txn Seq Number: *

Save Cancel

MANAGE POLICY USER GUIDE

Before you create a Reinstatement record, you must select the Cancellation record that you want to reverse. In the grid listing processed Cancellation/Reinstatement transaction, select a radio button to specify the desired Cancellation record

The system will fill in the Reinstatement effective date and Corresponding Cancellation Effective Date based on the selected Cancellation. Enter the Reinstatement Txn Sequence Number and click the Add button.

To edit a record, click the Edit button in the corresponding row in the grid. The field values for the record will appear in the data entry fields below the grid. Make the desired changes and click the Update button.

Note: If you need to enter multiple reinstatement records with different Transaction Issue Dates, you will need to save the currently viewed transaction and create a second transaction to enter a different Transaction Issue Date.

To delete a record, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

Note: When you click the Delete button for a record, you are not deleting the transaction 05. You are only deleting the individual record. To delete the entire transaction 05, click the Delete button in the Header area at the top of the screen.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

MANAGE POLICY USER GUIDE

NONCOMPLIANCE/COMPLIANCE

Transaction 17 can be used to create a *Noncompliance transaction* or a *Compliance transaction*. A Noncompliance transaction results in changing a compliant policy to noncompliant. A Compliance transaction results in the reversal of a previously submitted Noncompliance transaction.

When you create or edit a Transaction 17, the Noncompliance tab displays.

The screenshot shows the 'Noncompliance of Policy Terms' screen. At the top, it displays 'Type of Transaction: 17' and 'Transaction Status: In Progress'. Below this, there are fields for 'Carrier: 77777', 'Policy: WC78910', 'Primary Name: ABCDE CORP', 'Effective Date: 06/15/2010', and 'Issue Date: 11/01/2010'. A 'Print' button is in the top right. A 'Last Validated: M, Full Access 11/12/2010' message is shown. A red error message states: 'There are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information.' Below this are 'Validate', 'Delete', and 'Back to Prev' buttons. On the left is a sidebar with navigation links: 'Information Page', 'Insured Names', 'Addresses', 'Premium', 'Exposure', 'Endorsements', 'Cancellations/Reinstatements', 'Noncompliance', 'Transaction History', 'Manage User', and 'WC789102'. The main content area has a 'Noncompliance of Policy Terms' section with a 'Processed Compliance/Noncompliance' table and an 'Un-Processed Data' table. Below these is a 'Enter the information below and then click Save' section with various dropdowns and input fields for 'Noncompliance/Compliance Notification Type Code', 'Primary Noncompliance Reason Code (#1)', 'Additional Noncompliance Reason Code (#2)', 'Additional Noncompliance Reason Code (#3)', 'Current Outstanding Premium Due', and 'Seq Number'. There are 'Save' and 'Cancel' buttons at the bottom right.

The Noncompliance tab displays differently based on the selection you make in the Noncompliance/Compliance Notification Type Code drop down box.

If you choose Notification of Compliance Reason, the tab displays in Compliance mode. If you choose Notification of Noncompliance Reason, the tab displays in Noncompliance mode.

Noncompliance

In Noncompliance mode, you can add, edit and delete Noncompliance records. The Noncompliance tab displays two grids. The first grid lists all processed Compliance/Noncompliance transactions associated with the policy. This data is read-only. The second data grid lists unprocessed Compliance and Noncompliance records associated with this transaction.

To add a Noncompliance record, enter values in the data entry fields and click the Add button. After validation, the new record is saved and appears in the grid.

To edit a record, click the Edit button in the corresponding row in the grid. The field values for the record will appear in the data entry fields below the grid. Make the desired changes and click the Update button.

MANAGE POLICY USER GUIDE

Note: If you need to enter multiple Noncompliance records with different Transaction Issue Dates, you will need to save the currently viewed transaction and create a second transaction to enter a different Transaction Issue Date.

If you need to enter multiple Noncompliance records with the same Transaction Issue Date, you will need to enter a different sequence number for each record.

To delete a record, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

Note: When you click the Delete button for a record, you are not deleting the transaction 17. You are only deleting the individual record. To delete the entire transaction 17, click the Delete button in the Header area at the top of the screen.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

Compliance

In Compliance mode, you can add, edit and delete Compliance records. The Noncompliance tab displays two grids. The first grid lists all processed Compliance/Noncompliance transactions associated with the policy. This data is read-only. The second data grid lists unprocessed Compliance and Noncompliance records associated with this transaction.

Type of Transaction: 17 Transaction Status: In Progress Print

Carrier: 77777 Policy: WC78909 Primary Name: ABCDE CORP
Effective Date: 06/15/2009 Issue Date: 09/05/2010 Update Key Data

Last Validated: M. Full Access 11/12/2010
here are In Progress/Validated/Submitted transactions associated with this policy. Please view the Transaction History tab for more information. Validate Delete Back to Prev

Information Page
Insured Names
Addresses
Premium
Exposure
Endorsements
Cancellations/Restatements
Noncompliance
Transaction History
Manage LCR

Noncompliance of Policy Terms
Processed Compliance/Noncompliance
This table contains transactions currently stored for this policy in WCRIBMA's internal system.

Notification Type Code	Issue Date	Seq #	Eff Dt	Reason Code #1	Reason Code #2	Reason Code #3	Reason Code #4	Outstar Prem
1-Notification of Noncompliance Reason(s)	08/25/2010	01	08/25/2010	01				

Un-Processed Data
This table contains transactions that you created during this session that have not been processed and stored by WCRIBMA.

Notification Type Code	Issue Date	Seq #	Eff Dt	Reason Code #1	Reason Code #2	Reason Code #3	Reason Code #4

Enter the information below and then click Save

Noncompliance/Compliance Notification Type Code: 2 - Notification of Compliance Reason(s)

In order to enter a Compliance transaction, you must select a corresponding NonCompliance transaction. Please select a radio option next to a NonCompliance transaction in the grid above.

Primary Compliance Reason Code (#1): * Additional Compliance Reason Code (#2): *
Additional Compliance Reason Code (#3): * Additional Compliance Reason Code (#4): *

Compliance Effective Date: * Seq Number: *

Save Cancel

Before you create a Compliance record, you must select the Noncompliance record that you want to reverse. In the grid listing processed Compliance/Noncompliance transaction, select a radio button to specify the desired Noncompliance record.

MANAGE POLICY USER GUIDE

Then, to add a Compliance record, enter values in the data entry fields and click the Add button. After validation, the new record is saved and appears in the grid.

To edit a record, click the Edit button in the corresponding row in the grid. The field values for the record will appear in the data entry fields below the grid. Make the desired changes and click the Update button.

Note: If you need to enter multiple Compliance records with different Transaction Issue Dates, you will need to save the currently viewed transaction and create a second transaction to enter a different Transaction Issue Date.

If you need to enter multiple Compliance records with the same Transaction Issue Date, you will need to enter a different sequence number for each record.

To delete a record, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

Note: When you click the Delete button for a record, you are not deleting the transaction 17. You are only deleting the individual record. To delete the entire transaction 17, click the Delete button in the Header area at the top of the screen.

After you have entered data on this tab and saved your changes, ensure that you have entered the data required on the other tabs that are editable for this transaction, then click the Validate button to validate the transaction data. Alternatively, you can return to the transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

MANAGE POLICY USER GUIDE

PRINTING POLICIES OR TRANSACTIONS

Manage Policy enables you to print processed policies and transactions. When you are viewing a Policy Detail page or a Transaction Detail page, click the Print button in the upper right-hand corner of the Policy Header.

When you click the Print button, you will be prompted to save a PDF file, which you can then open and print.

Note: If your browser is configured to display PDF files, the policy data will appear in a browser window, at which point, you can print the information.

For transactions, the header of the first page includes Transaction Code, Issue Date, and, if the transaction is In Progress or Validated, a label is displayed indicating that the transaction has not been submitted for processing.

When you print a processed policy, all sections of the Policy Detail page will print. If you print a transaction, only the sections applicable to the transaction will print. In general, for a given Transaction Code, the sections that print correspond to the tabs that are editable on the Transaction Detail page.

MANAGE POLICY USER GUIDE

SUBMITTING TRANSACTIONS FOR DCO PROCESSING

After you have created the transactions required to create or modify a policy, you can submit the transactions for DCO processing. Transactions are submitted in the form of a Submission file (a *WCPOLS file*).

Searching for Validated Transactions

Transactions are submitted to the DCO for processing in the form of a Submission file. After selecting the transactions to include, you can create a Submission file containing all the transaction details and either submit the file for processing or download the file for review.

When you select Create Submission File from the Submissions menu, the Create Submission File page appears.

Manage Policy RETURN TO JOSA | MANAGE POLICY USER GUIDE

SEARCH CREATE TRANSACTION SUBMISSIONS IMPORT ERROR REPORTS END OF COVERAGE MYLIST HELP

Create Submission

This screen contains a list of validated transactions that are ready to submit to the WCRBMA for processing. You can use the filter criteria to filter the list for the transactions you would like to submit.

To submit the selected transaction(s) to WCRBMA for processing, click Submit to Bureau. Once submitted, the status of the transaction(s) will change to Submitted and will be removed from this screen. You can view the status of the submitted transaction(s) as well as access the WCPOLS file that was created by navigating to the Submissions / Search Submissions / Submitted ManagePolicy Submissions screen.

To create a WCPOLS file for the selected transactions to save on your desktop or network, click Download WCPOLS. This does not submit the transaction(s) to WCRBMA for processing.

* Transactions that are older than 6 months are removed from the system.*

77777 - MANAGE POLICY INSURANCE GROUP
☐ Select All Carriers
☒ 77777 -

Txn Code:
Issue Date From: To:
☐ My Transactions Only

<input type="checkbox"/>	Txn Code	Issue Date	Carrier ID	Policy Number	Policy Eff Date	Business Segment ID	Primary Name	Created By	Create Date
<input type="checkbox"/>	32	10/15/2018	77777	WC34567	04/15/2018		PUOTOS BISCUITS	M. Policy Test Company	12/15/2018
<input type="checkbox"/>	38	04/01/2014	77777	WC5678	03/01/2014		STYVESTERS SNACKS	M. Policy Test Company	12/20/2018

The grid lists all Validated transactions. You can use the search fields to find the transactions you want to submit. The available search fields are as follows:

- Txn Code — Only transactions with the specified Transaction Code will be returned in the search results.
- Issue Date — The search returns only records where the Issue Date is in the specified date range.
- Show My Transactions Only — If selected, only transactions that you created in Manage Policy will be returned in the search results.

After you have specified search criteria, click the Search button. The grid displays all transactions matching your criteria.

MANAGE POLICY USER GUIDE

Note: You can sort the list by clicking a column heading; the records will be sorted by the column values in ascending order. To reverse the sort order, click the column heading again.

Note: This page enables you to delete one or more Validated transactions. In the grid, select the checkboxes for the transactions you want to delete and click the Delete button. You will be prompted to confirm the deletion.

Submitting a Submission File

To create a Submission file that you want to submit for processing, select one or more transactions by clicking the checkbox in the corresponding rows, then click the Submit to Bureau button.

The Submission file is created for the selected transactions and the file is submitted for processing. Files submitted on business days, by 5:00 PM Eastern, will be processed within 1 hour (occasionally longer, if overall submission volume is high). Otherwise, files will be processed the next business day

Note: After a submission has been submitted for processing, the included transactions will no longer appear in the Create Submission File search results. If you need to review the submission details for an individual transaction, ensure that you download the file (as described in the next section), *before* submitting a submission file that includes that transaction.

Downloading a Submission File

To create a Submission file for review purposes, select one or more transactions by clicking the checkbox in the corresponding rows, then click the Download WCPOLS button.

The Submission file is created for the selected transactions and you will be prompted to either view the file or save it locally.

Viewing Status of Submitted Submissions

After you have submitted transactions for processing, you may want to review the details of the included transactions. You can do this by accessing the submission on the View Submitted Submissions page.

To view submitted submissions, select Submissions > Search By Submission > Submitted Manage Policy Submissions from the menu.

Note: The Submitted Manage Policy Submissions option differentiates between submissions from Manage Policy and those from CDX (a separate system). The search will return only submissions from Manage Policy that have been submitted to, but not yet processed by, WCRIBMA.

MANAGE POLICY USER GUIDE

Note: The submissions are deleted from the Submitted Manage Policy Submissions tab, after the submission is processed. The timing depends on when the submission file is submitted, relative to the submission processing cycle. Refer to Submitting a Submission File.

When you choose Submitted Manage Policy Submissions, the following page appears.

File Name	Submission Date	Submitted By
▶ MAR_77777_20161221_083542.TXT	12/21/2016	Manage Policy Test Company
▼ MAR_77777_20161221_092405.TXT	12/21/2016	Manage Policy Test Company

Transaction Code	Issue Date	Carrier ID	Policy Number	Policy Effective Date
10 - Policy Replacement due to Rating Change	10/15/2016	77777	WC34567	04/15/2016

The grid lists all submissions that are submitted from Manage Policy. You can click a value in the Filename column to view or download the Submission file containing all transaction details for the submission.

Each row in the grid can be expanded to display the transactions included in the submission. When you click the arrow icon in the first column, the list of transactions appears. You can collapse the list by clicking the arrow icon again.

In the list of transactions, you can click a Transaction Code value to access the Transaction Detail page for that transaction. Submitted transactions are read-only.

Note: You can also access transactions that are awaiting submission by using the Search page or by using the Transaction History tab, of a Transaction Detail page or Policy Detail page.

MANAGE POLICY USER GUIDE

VIEWING PROCESSED SUBMISSIONS

After a submission has been processed, you can check on the status of the submission in order to determine if it was rejected, accepted, or accepted with errors. Manage Policy displays the status of all submissions received at the Bureau, including submissions received from other systems such as PEEP or a carrier's policy entry system. Manage Policy only displays details on submissions received within the previous twelve months.

You can search for a submission and view details about the submission, such as how many transactions were included, how many were accepted, how many were rejected, etc. If there were errors in processing, you can access error reports. If the submission was created using Manage Policy, you can also download the Submission file.

Note: Rejected submissions are submissions that could not be processed at the Bureau, most commonly due to Transmittal Record errors. The system does not reach the point of transaction processing. Rejected transactions are transactions that could not be processed at the Bureau. If all transactions rejected, for one or more transaction rejection errors, the status of each transaction is rejected, but the submission status is accepted.

Searching for Submissions

To search for processed submissions, choose Submissions > Search Submissions > Processed Submissions from the menu. The View Processed Submissions page appears.

Manage Policy

RETURN TO SOSA | MANAGE POLICY USER GUIDE

SEARCHCREATE TRANSACTIONSUBMISSIONSIMPORTERROR REPORTSEND OF COVERAGEMYLSTHELP

View Processed Submissions

To view the status of submissions received by the WCRBMA, enter the applicable filter criteria below and click Search. Either the Received Date range or Submission ID is required. Received Date range must be thirty days or less. Click the arrow next to the Submission ID to view the list of transactions in the submission. If the submission was generated from ManagePolicy, you can download or view the corresponding WCPOLS file by clicking on the file name hyperlink. The reports generated for each submission will display a [View](#) hyperlink in the applicable report column. Click the hyperlink to view the report.

Received Date From:12/01/2016

To:12/21/2016

Submission ID:

File Name:

Submission Status:

Submitted From:

Error Report:

Show My ManagePolicy Submissions Only:

SearchClear All

Your search returned 5 records.

Submission ID	File Name	Submission Status	Total Record Count	# of Accepted Tns	# of Rejected Tns	# of Unmatched Tns	Received Date	Processed Date	Submission Reject Report	Txn Reject Report	All Errors Report
312222	77777_20161215_err3.txt	Accepted	9	1	0	0	12/16/2016	12/16/2016			View
312223	77777_20161215_err2.txt	Accepted	9	1	0	0	12/16/2016	12/16/2016			View
312224	77777_20161215_err1.txt	Accepted	9	1	1	0	12/16/2016	12/16/2016		View	View
313056	77777_20161215_err4.txt	Rejected	9	0	1	0	12/20/2016	12/20/2016	View		View
313107	MAP_77777_20161220_083138.txt	Accepted	10	1	0	0	12/20/2016	12/20/2016			View

The View Processed Submissions page displays fields that allow you to specify search criteria. When you execute the search, all submissions records matching your criteria will be returned in the search results.

MANAGE POLICY USER GUIDE

The available search fields are as follows:

- **Received Date**—The search returns only records where the Received Date is in the specified date range. This field is required if the Submission ID is not specified. The received date range cannot be longer than 30 days. Take weekends and holidays into account when searching.
- **Submission ID**— The search returns only records where the Submission ID matches the value you enter. If entered, all other search criteria will be ignored. This field is required if the Received Date is not specified.
- **File Name**— The search returns only records where the File Name matches or begins with the value you enter. A minimum of 4 characters must be entered.
- **Submission Status**— Only records with the specified Submission Status will be returned in the search results. To search for all Submission Statuses, select the blank option from the dropdown list. (Refer to Appendix A for Submission Status definitions.)
- **Submitted From**— Only records with the specified Submitted From value will be returned in the search results. To search for all Submitted From values, select the blank option from the dropdown list.
- **Error Report**— Only records with the specified error report will be returned in the search results. To search for submissions regardless of error reports, select the blank option from the dropdown list.
- **Show My Submissions Only**—If selected, only records for submissions that you submitted from Manage Policy will be returned in the search results.

After you have specified search criteria, click the Search button. The grid displays all submissions records matching your criteria.

Note: If a row is displayed in red font, that submission is in the process of being updated. You should ignore that row, until updates are complete (the row will display in black font, when you refresh the screen).

Each row in the grid can be expanded to display the transactions included in the submission. When you click the arrow icon in the first column, the list of transactions appears. You can collapse the list by clicking the arrow icon again.

The lower right-hand corner displays the grid page numbers. Click a page number to access another page of the search results. You can sort the list by clicking a column heading; the records will be sorted by the column values in ascending order. To reverse the sort order, click the column heading again.

Viewing Submission Status

The search results grid of the View Processed Submissions enables you to view details about the submission. If there were errors in processing, you can access error reports. If the submission was created using Manage Policy, in the last twelve months, you can also download the Submission file.

After you have searched processed submissions, the grid displays all submissions records matching your criteria.

MANAGE POLICY USER GUIDE

Note: If a row is displayed in red font, that submission is in the process of being updated. You should ignore that row, until updates are complete (the row displays in black font when you refresh the screen).

Submission ID	File Name	Submission Status	Total Record Count	# of Accepted Txns	# of Rejected Txns	# of Unmatched Txns	Received Date	Processed Date	Submission Reject Report	Txn Reject Report	All Errors Report
▶ 122335		Accepted	11	1	1	0	07/15/2010	08/06/2010		View	View
▶ 122408	MAP_77777_20100715_033124.txt	Accepted	15	1	0	0	07/15/2010	07/16/2010			
▶ 122409	MAP_77777_20100715_043212.txt	Accepted	11	1	0	0	07/15/2010	07/16/2010			
▶ 122975		Accepted	26	0	2	0	07/26/2010	08/09/2010		View	View
▶ 123124	PPEP_77777_C_00020_201007261843.txt	Accepted	13	0	1	0	07/27/2010	07/29/2010		View	View
▶ 123236	77777_C_00020_20100728-2.txt	Accepted	13	1	0	0	07/29/2010	07/29/2010			View
▶ 123325	77777_C_00020_20100728-2.txt	Accepted	13	1	0	0	07/29/2010	07/30/2010			View
▶ 123575		Accepted	12	1	0	0	08/04/2010	08/06/2010			View
▶ 123652	MAP_77777_20100804_045251.txt	Accepted	2	1	0	0	08/04/2010	08/04/2010			
▶ 123653	MAP_77777_20100804_045537.txt	Accepted	2	1	0	0	08/04/2010	08/04/2010			
▼ 123813	MAP_77777_20100726_050203.txt	Accepted	3	2	0	0	08/06/2010	08/06/2010			
Transaction Code			Txn Status		Issue Date		Carrier ID	Policy Number	Policy Effective Date		
05 - Cancellation/Reinstatement			Accepted with Errors		07/26/2010		77777	WC12345	07/01/2010		
17 - Noncompliance of Policy Terms and Conditions			Accepted		07/26/2010		77777	WC12345	07/01/2010		
▶ 123875		Accepted	24	0	2	0	08/09/2010	08/10/2010		View	View
▶ 124055		Accepted	24	2	0	0	08/11/2010	08/12/2010			View
▶ 124076	c:\spectrum\policies\77777_20100810_123	Rejected	11	0	1	0	08/11/2010	08/11/2010			
▶ 124077	c:\spectrum\policies\77777_20100810_123	Rejected	11	0	1	0	08/11/2010	08/11/2010	View		

The grid displays submission details, such as how many transactions were included, how many were accepted, how many were rejected, the date when the submission was received and when it was processed.

Each row in the grid can be expanded to display the transactions included in the submission. When you click the icon in the first column, the list of transactions appears. You can collapse the list by clicking the icon again.

Note: You will only see the transactions within the submission that you are allowed to see based on your security. If the submission includes transactions that you do not have security to view, those transactions will not be displayed and you will see a message that you do not have security to view all of the transactions in the submission.

You can click a value in the Submission ID column to access a Submission Summary Report. Refer to “Viewing Submission Summary” for more information.

If the submission was created using Manage Policy, you can click a value in the File Name column to download the Submission file containing all transaction details for the submission.

The last three columns in the grid provide access to various error reports, as explained in “Errors by Submission” in the “Viewing Error Reports” section.

MANAGE POLICY USER GUIDE

Viewing Submission Summary

The List of All Transactions on Submission Report Results page displays details about the Submission and a grid that lists the transactions that were included in the submission.

ManagePOLICY

RETURN TO MEMBERS AREA | MANAGE POLICY USER GUIDE

SEARCH CREATE TRANSACTION SUBMISSIONS ERROR REPORTS END OF COVERAGE MYLIST HELP

List of All Transactions on Submission Report Results

Submission ID:123813

Received Date:08/06/2010

of Total Transactions:2

of Rejected Transactions:0

of Total Records:3

File Name:MAP_77777_20100726_050203.txt

Processed Date:08/06/2010

of Accepted Transactions:2

of Unmatched Transactions:0

New Search

Return to Submission List

Print Report

Download Report

	Txn Code	Transaction Status	Carrier ID	Policy Number	Eff Date	Issue Date	Canc/Rein ID Code	Txn Seq #
<input type="checkbox"/>	05 - Cancellation/Reinstatement	Accepted with Errors	77777	WC12345	07/01/2010	07/26/2010	1	01
<input type="checkbox"/>	17 - Noncompliance of Policy Terms and Conditions	Accepted	77777	WC12345	07/01/2010	07/26/2010		

If the policy data associated with the transaction is available in Manage Policy, the Policy Number will display as a hyperlink. When you click a Policy Number value in the grid, the Policy Detail page appears.

The List of All Transactions on Submission Report Results page displays a Return to Submission List button, which allows you to return to the View Processed Submissions page with your search criteria and results displayed. The pages also display a New Search button you can use if you want to return to the search page with no criteria and results.

This page enables you to print the information or download it in the form of an Excel spreadsheet.

To print the information, click the Print Report button. You will be prompted to save a PDF file, which you can then open and print. To download the information, in Excel, click the Download Report button. You will be prompted to save an Excel file.

Note: If your browser is configured to display PDF files or Excel files, the search results will appear in a browser window, at which point, you can print or save the information.

MANAGE POLICY USER GUIDE

IMPORT

Allows for users to import WCPOLS files into Manage Policy. After validating the file, the transactions can be viewed in Manage Policy.

Importing WCPOLS files

The Import page allows users to import WCPOLS files into Manage Policy. Note that files must have a .txt extension and should be less than 3MB.

Manage Policy

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[SEARCH](#) [CREATE TRANSACTION](#) [SUBMISSIONS](#) [IMPORT](#) [ERROR REPORTS](#) [END OF COVERAGE](#) [MYLIST](#) [HELP](#)

Import

File Upload: [Browse...](#)

[Validate](#) [Clear](#)

To Import a file, click on Browse and Choose the File to Upload in the popup window. After the file is selected in the popup window, click open, then click Validate on the Import page.

If the file passes the validation, the following message will show:

The file has been validated and loaded into Manage Policy. To submit the transactions to the Bureau go to Submissions -> Create Submissions on the menu bar.

If errors are encountered during validation, the file will not be loaded into Manage Policy. The errors must be corrected on the file. The errors will be displayed on the Import page. To download the errors in an Excel file, click on the Download button and you will be prompted to save a .csv file.

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Import

File Upload: [Browse...](#)

[Validate](#) [Clear](#)

77777_20141103_021555.txt

This file has a total of : 3 errors

[Download](#)

Carrier: 77772 Policy Number: 7C939363801 Effective Date: 1/21/2013- A header record is required.
Line 2: You do not have security to report data for Carrier Code 77772.
Line 8: You do not have security to report data for Carrier Code 77772.

MANAGE POLICY USER GUIDE

VIEWING ERROR REPORTS

When a submission is processed, it may be rejected, accepted, or accepted with errors. You can determine if a submission has errors by viewing the search results grid of the View Processed Submissions page, as described in this section.

Provided you have the appropriate security, you may access Error Reports from within Manage Policy. The Error Reports application enables you to search for errors across multiple submissions and provides various search options.

Errors by Submission

If a processed submission was accepted with errors or rejected, the search results grid of the View Processed Submissions page enables you to access error reports.

Manage Policy RETURN TO SCSA | MANAGE POLICY USER GUIDE

SEARCH CREATE TRANSACTION SUBMISSIONS IMPORT ERROR REPORTS END OF COVERAGE MYLIST HELP

View Processed Submissions

To view the status of submissions received by the WCRISMA, enter the applicable filter criteria below and click Search. Either the Received Date range or Submission ID is required. Received Date range must be thirty days or less. Click the arrow next to the Submission ID to view the list of transactions in the submission. If the submission was generated from ManagePolicy, you can download or view the corresponding WCPOL5 file by clicking on the file name hyperlink. The reports generated for each submission will display a View hyperlink in the applicable report column. Click the hyperlink to view the report.

Received Date From: 12/01/2016 To: 12/21/2016

Submission ID: Submission Status: Error Report: Show My ManagePolicy Submissions Only: ☐

File Name: Submitted From:

[Search](#) [Clear All](#)

Your search returned 5 records.

Submission ID	File Name	Submission Status	Total Record Count	# of Accepted Transactions	# of Rejected Transactions	# of Unmatched Transactions	Received Date	Processed Date	Submission Reject Report	Txn Reject Report	All Errors Report
312722	77777_20161215_err3.txt	Accepted	9	1	0	0	12/16/2016	12/16/2016			View
312723	77777_20161215_err2.txt	Accepted	9	1	0	0	12/16/2016	12/16/2016			View
312724	77777_20161215_err1.txt	Accepted	9	1	1	0	12/16/2016	12/16/2016	View		View
313066	77777_20161215_err4.txt	Rejected	9	0	1	0	12/20/2016	12/20/2016	View		View
313107	MAP_77777_20161220_083138.txt	Accepted	10	1	0	0	12/20/2016	12/20/2016			View

For any submissions that include errors, the grid displays a View hyperlink in the applicable error report column(s). The View hyperlink allows you to access the error report. If you do not have the security for the Error Reports application, the View hyperlink will display but will be disabled.

- Submission Reject Report—Displays the Submission Reject Report, described below.
- Txn Reject Report—Displays the Transaction Reject Report, described below.
- All Errors Report—Displays the All Errors Report, described below.

Note: All transactions with errors will be included on the error reports. If the submission status is “Unmatched”, at least one transaction has not completed processing. Each such transaction has a status of “Unmatched” and has undergone some editing. The error reports will include “Unmatched” transactions that have errors

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or warnings. When the submission status is “Accepted,” the “Unmatched” transactions will have completed processing and may have additional errors. (Refer to Appendix A for Submission Status and Transaction Status definitions.)

Each error report displays on a separate Error Reports tab. This allows you to move back and forth between Manage Policy and Error Reports.

In Error Reports, you have the option to download the information in PDF format, by clicking the Download PDF link or download it in the form of an Excel spreadsheet, by clicking the Download Excel link.

Note: Your browser configuration will determine whether you must save the PDF or Excel file, before opening it or if the file will open in your browser. If you save the file, you may then open and print it. If it opens automatically or you choose to open it, you may print it or save it.

Submission Rejection Errors

If you have security to view Error Reports, when you select to view the Submission Reject Report, a new Error Reports browser tab displays. The top section displays basic submission and error information. The bottom section displays a grid that lists the specific error(s) that caused the submission rejection. It also identifies whether an edit is fineable. Refer to Error Reports, below, and the Error Reports User Guide for more specific information.

The screenshot shows the 'Error Reports' interface. At the top, there's a 'Search Errors' section with a 'Data Source' dropdown set to 'All WCPOLS WCSTAT'. Below this are fields for 'Received Date From', 'Policy Number', 'Report Number', 'Is Fineable', and 'Error Status'. To the right, there's a 'Submission ID' field set to '313066', and a 'Severity' dropdown set to 'All Outstanding Submission Rejected'. Below these fields are 'Search' and 'Reset' buttons. At the bottom, there's a table with columns: Data Source, Submission ID, Carrier ID, Policy #, Eff Date, Rpt #, Cor #, Ten Code, Ten Issue Date, Received Date, Edit ID, Severity, Notification Date, Error Status, First Fine Date, Is Fineable, and Explanation. The table shows one record for 'WCPOLS' with Submission ID '313066', Received Date '12/20/2016', Edit ID '1001', Severity 'Reject', Notification Date '12/21/2016', Error Status 'Submission Rejected', and Explanation 'Error Message: Multiple transmittal letter records not allowed.'.

Data Source	Submission ID	Carrier ID	Policy #	Eff Date	Rpt #	Cor #	Ten Code	Ten Issue Date	Received Date	Edit ID	Severity	Notification Date	Error Status	First Fine Date	Is Fineable	Explanation
WCPOLS	313066								12/20/2016	1001	Reject	12/21/2016	Submission Rejected		N	Error Message: Multiple transmittal letter records not allowed.

The checkbox in each row allows you to select records for inclusion in MyList, a personalized view of specific error records that you have identified. After the desired rows are selected, click the Add to MyList link. If you want to select all error records that are included in the current search results, click the Add all results to MyList link.

To access the records you have added, click the “MyList” icon that is above the Submission ID field.

Note: MyList for errors is only accessible in Error Reports. It is separate from MyList

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for policies and transactions in Manage Policy.

Transaction Rejection Errors

If you have security to view Error Reports, then when you select to view the Transaction Reject Report (Txn Reject Report), a new Error Reports browser tab displays. The top section displays basic submission and error information. The bottom section displays a grid that lists the rejected transaction(s) and the specific error(s) that caused the transaction rejection(s). It also identifies whether an edit is fineable. Refer to Error Reports, below, and the Error Reports User Guide for more specific information.

The screenshot shows the 'Error Reports' interface. At the top right, there are links for 'RETURN TO SOSA' and 'USER GUIDE'. Below the title 'Error Reports', there is a 'My List' icon. The main section is titled 'Search Errors' and contains several filters: 'Data Source' (dropdown with 'All', 'WCPOLS', 'WCSTAT'), 'Received Date From' (text input), 'Policy Number' (text input), 'Report Number' (dropdown), 'Is Fineable' (dropdown), 'Error Status' (dropdown with 'All', 'Outstanding', 'Submission Rejects', 'Txn Rejected'), 'Submission ID' (text input), 'To' (text input), 'Policy Effective Date' (text input), 'Correction Seq Number' (text input), 'Edit ID' (text input), and 'Severity' (dropdown with 'All', 'Warning', 'Error', 'Reject'). There are 'Search' and 'Reset' buttons. Below the filters, there are links for 'Add selected to MyList' and 'Add all results to MyList'. A message states 'Your search returned 3 record(s)'. At the bottom, there are links for 'Download Excel' and 'Download PDF'. The table below shows the search results:

Data Source	Submission ID	Carrier ID	Policy #	Eff Date	Rpt #	Cor #	Txn Code	Txn Issue Date	Received Date	Edit ID	Severity	Notification Date	Error Status	Post Fine Date	Is Fineable	Explanation
WCPOLS	312724	77777	WC34567	4/15/2016				10/15/2016	12/16/2016	12004	Reject	12/17/2016	Txn Rejected		N	Error Message: Transaction code is not accepted.
WCPOLS	312724	77777	WC34567	4/15/2016				10/15/2016	12/16/2016	81017	Reject	12/17/2016	Txn Rejected		N	Error Message: Link data is blank on at least one record. Link data cannot be blank for any record.
WCPOLS	312724	77777	WC34567	4/15/2016				10/15/2016	12/16/2016	1681017	Reject	12/17/2016	Txn Rejected		N	Error Message: Link data is blank on at least one record. Link data cannot be blank for any record.

The checkbox in each row allows you to select records for inclusion in MyList, a personalized view of specific error records that you have identified. After the desired rows are selected, click the Add to MyList link. If you want to select all error records that are included in the current search results, click the Add all results to MyList link. To access the records you have added, click the “MyList” icon that is above the Submission ID field.

Note: MyList for errors is only accessible in Error Reports. It is separate from MyList for policies and transactions in Manage Policy.

All Errors Report

If you have security to view Error Reports, then when you select to view the All Errors Report, a new Error Reports browser tab displays. The top section displays basic submission and error information. The bottom section displays a grid that lists the transactions with rejection and non-rejection errors, with an error description for each. It also identifies whether an edit is fineable and whether an explanation is

allowed. Refer to Error Reports, below, and the Error Reports User Guide for more specific information.

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Error Reports

RETURN TO LOGIN | USER GUIDE

Search Errors

77777 - MANAGE POLICY INSURANCE GROUP
☒ Select All Content
☒ 77777 -

Data Source:

WCPOL3
WCBTAT

Received Date From:

Policy Number:

Report Number:

Is Final:

Error Status:

Outstanding
Submission Rejected

Submission ID:

30983

To:

Policy Effective Date:

Correction Seq Number:

Edit ID:

Severity:

Warning
Error
Reject

Search

Reset

Add selected to MyList

Add all results to MyList

Your search returned 11 record(s)

Download Excel

Download PDF

Data Source	Submission ID	Carrier ID	Policy #	Eff Date	Rpt #	Car #	Ten Code	Ten Issue Date	Received Date	Edt ID	Severity	Notification Date	Error Status	First Time Date	Is Final	Explanation
WCPOL3	30983	77777	WCD4017AA	4/30/2014			14	10/6/2014	11/15/2014	301028	Error	11/16/2014	Check Policy		N	Expired
<input type="checkbox"/>	Error message: incorrect reporting of the ARD - multiple premium recs with no ARD reported on premium recs.															
WCPOL3	30983	77777	WCD4017AA	4/30/2014			14	10/6/2014	11/15/2014	301038	Error	11/16/2014	Check Policy		N	Expired
<input type="checkbox"/>	Error message: incorrect reporting of the ARD - no matching premium rec ARD with ARD rec.															
WCPOL3	30983	77777	WCD4017AA	4/30/2014			14	10/6/2014	11/15/2014	301085	Error	11/16/2014	Check Policy		N	Expired

The checkbox in each row allows you to select records for inclusion in MyList, a personalized view of specific error records that you have identified. After the desired rows are selected, click the Add selected to MyList link. If you want to select all error records that are in the current search results, click the Add all results to MyList link. To access the records you have added, click the “MyList” icon that is above the Submission ID field.

Note: MyList for errors is only accessible in Error Reports. It is separate from MyList for policies and transactions in Manage Policy.

MANAGE POLICY USER GUIDE

SEARCHING FOR ERROR REPORTS

You may search for errors across multiple submissions, using various criteria, in the Error Reports application. The Error Reports application may be accessed by selecting the Error Reports menu item, in Manage Policy, or directly from Manage Error Reports. If you do not have specific security to access to the Error Reports application, the Error Report will be disabled.

The screenshot shows the 'Error Reports' application interface. At the top, there's a 'Search Errors' section with a 'My List' button. Below this, there are search criteria fields: 'Data Source' (dropdown with 'All WCPOLS' and 'WCSTAT'), 'Received Date From' (text input), 'Policy Number' (text input), 'Report Number' (text input), 'Is Finable' (dropdown with 'All'), 'Error Status' (dropdown with 'All', 'Outstanding', 'Submission Rejected', 'Txn Rejected'), 'Submission ID' (text input), 'To' (text input), 'Policy Effective Date' (text input), 'Correction Seq Number' (text input), 'Edit ID' (text input), and 'Severity' (dropdown with 'All', 'Warning', 'Error', 'Reject'). There are 'Search' and 'Reset' buttons. Below the search criteria, there's a table of results. The table has columns: Data Source, Submission ID, Carrier ID, Policy #, Eff Date, Rpt #, Corr #, Txn Code, Txn Issue Date, Received Date, Edit ID, Severity, Notification Date, Error Status, First Fine Date, Is Finable, and Explanation. The table shows 11 records. The first record is for WCPOLS, Submission ID 309883, Carrier ID 77777, Policy # WC043017AA, Eff Date 4/30/2016, Rpt # 14, Corr # 10/6/2016, Txn Issue Date 11/15/2016, Received Date 301025, Severity Error, Notification Date 11/16/2016, Error Status Check Policy, First Fine Date N, Is Finable N, and Explanation Error Message: incorrect reporting of the ARD - multiple premium recs with no ARD reported on premium recs. The second record is for WCPOLS, Submission ID 309883, Carrier ID 77777, Policy # WC043017AA, Eff Date 4/30/2016, Rpt # 14, Corr # 10/6/2016, Txn Issue Date 11/15/2016, Received Date 301035, Severity Error, Notification Date 11/16/2016, Error Status Check Policy, First Fine Date N, Is Finable N, and Explanation Error Message: incorrect reporting of the ARD - no matching premium rec ARD with ARD rec. The third record is for WCPOLS, Submission ID 309883, Carrier ID 77777, Policy # WC043017AA, Eff Date 4/30/2016, Rpt # 14, Corr # 10/6/2016, Txn Issue Date 11/15/2016, Received Date 301065, Severity Error, Notification Date 11/16/2016, Error Status Check Policy, First Fine Date N, Is Finable N, and Explanation Error Message: incorrect reporting of the ARD - no matching premium rec ARD with ARD rec.

When you execute a search, in Error Reports, all submissions' records matching your criteria will be returned in the search results grid, up to a maximum of 1000 records. If the number of records exceeds 1000 (but doesn't exceed 20000), a message will display on the screen that the results are only available in an Excel file to download. If the number of records exceeds 20000, a message will display on the screen requesting that you refine your search criteria.

The available search fields are below. Refer to the Error Reports User Guide for more specific information.

- **Data Source** — The search returns errors for the data source that is selected. To view only policy transaction errors, select WCPOLS.
- **Submission ID** — The search returns only records where the Submission ID matches the value you enter.
- **Received Date** — The search returns only records where the Received Date is in the specified date range. The received date range cannot be longer than 30 days. Take week-ends and holidays into account.
- **Policy Number** — The search returns only records where the Policy Number matches the exact value you enter.
- **Correction Seq Number** — This field is used only for unit statistical data.
- **Is Finable** — The search returns records that match the value that you selected. Leave the field blank for both finable and non-finable errors.
- **Edit ID** — The search returns only records where the Edit ID matches the value you enter.

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- **Error Status** — The search returns only records where the Error Status matches the value you select.
- **Severity** — The search returns only records where the Severity matches the value you select.

Search Results

General information regarding Error Reports search results is below. Refer to the Error Reports User Guide for more information.

Because the Error Reports application is used for policy transaction errors and unit statistical errors:

- Some of the columns in the Error Reports search results apply only to policy data and some apply only to unit statistical data.
- Most, but not all, of the error information can be displayed on the screen. Complete error information displays in the Excel Download. As with the search result screen some columns apply only to policy data and some apply only to statistical data.

If a transaction status is “Unmatched” (identified as such in List of All Transactions on Submission Report Results page), the transaction has not completed processing, but it has undergone some editing. If errors have been found, the transaction will be included in the search results. When the transaction has completed processing, it may have additional errors or warnings which will be included in subsequent search results. (Refer to Appendix A for Submission Status and Transaction Status definitions.)

If the error resolution status can be determined, electronically, the resolution status of the error will be displayed, in the Error Status column. For 03, 04, 05, and 17 Transactions, the resolution status cannot be determined, electronically. You will need to review the history of submitted 03, 04, 05, and 17 Transactions to determine error resolution status.

Some errors include an “Explain” link in the Explanation column. The link takes you to the Explanation Capture System. Refer to the Explanation Capture System User Guide for additional information.

Note: The Error Reports application gives you the option to download the information in PDF format, by clicking the Download PDF link or download it in the form of an Excel spreadsheet, by clicking the Download Excel link. The PDF download displays the same columns that display on the search results screen. The Excel download displays complete error data. Your browser configuration will determine whether you must save the PDF or Excel file, before opening it or if the file will open in your browser. If you save the file, you may then open and print it. If it opens automatically or if you choose to open it, you may print it or save it.

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The checkbox in each row allows you to select records for inclusion in MyList, a personalized view of specific error records that you have identified. After the desired rows are selected, click the Add selected to MyList link. If you want to select all error records that are in the current search results, click the Add all results to MyList. To access the records you have added, click the “MyList” icon that is above the Submission ID field.

Note: MyList for errors is only accessible in Error Reports. It is separate from MyList for policies and transactions in Manage Policy.

MANAGE POLICY USER GUIDE

VIEWING END OF COVERAGE STATUS

Manage Policy enables you to search for processed policies to verify a policy's standing as providing Workers' Compensation coverage. The purpose of the End of Coverage Search is to provide our members with a tool and opportunity to review any situation where their carrier group no longer provides coverage to ensure the appropriate reporting of cancellation, nonrenewal notices or renewal policies.

When you click End of Coverage in the menu bar, the End of Coverage page displays.

End of Coverage

Data Last Updated 8/7/2010

77777 - MANAGE POLICY INSURANCE GROUP
☒ Select All Carriers
☒ 77776 - MP INSURANCE COMPANY 2
☒ 77777 - MP INSURANCE COMPANY 1

Enter additional filter criteria:

End of Coverage Status: **N - In Force**
Continuing Coverage Status: **2 - No Record of Coverage on the Expiration**
Combo ID:
Coverage ID:
Primary Insured's Name:
Policy Number:
Policy Effective Date:
Policy Expiration Date:

Search **Clear All** **Print Results** **Download Results**

(+) Add to MyList

Carrier ID	Policy Number	Coverage ID	Policy Eff Date	Policy Exp Date	Cancelled Date	Spectrum Policy Status	End of Coverage Status	Continuing Coverage Status	Insured Name		
<input type="checkbox"/>	77777	WC78911	0900422	06/29/2010	06/05/2011	Active	In Force	No Record of Coverage on the Expiration	ABCDE CORP	SOMET	052222
<input type="checkbox"/>	77777	WC33333	0900382	07/01/2010	07/01/2013	Active	In Force	No Record of Coverage on the Expiration	EFG CORP	ANYTO	012345
<input type="checkbox"/>	77777	WC11111	0900382	07/01/2010	07/01/2011	Active	In Force	No Record of Coverage on the Expiration	SOMEONES CORP	ANYTO	012345

Show 25 Records Per Page

The End of Coverage page displays fields that allow you to specify search criteria. The available search fields are as follows:

- **End of Coverage Status** — Only records with the specified End of Coverage Status will be returned in the search results. A selection is required; the choices are In-Force, Expired, Non-Renewed, Cancelled Mid Term, and Cancelled Flat. Refer to Appendix A for definitions of the End of Coverage Statuses.
- **Continuing Coverage Status** — Only records with the specified Continuing Coverage Status will be returned in the search results. A selection is required; the choices are Continuing Coverage on Termination within Group, Continuing Coverage on Termination Outside of the Group, and No Continuing Coverage on Termination. Refer to Appendix A for definitions of the End of Coverage Statuses.
- **Combo ID** — The search returns only records where the Combo ID matches the value you enter. If you enter less than nine characters, the application adds zeros to the beginning of your entry.
- **Coverage ID** — The search returns only records where the Coverage ID matches the value you enter. If you enter less than seven characters, the application adds zeros to the beginning of your entry.
- **Primary Insured's Name** — The search returns only records where the Primary

MANAGE POLICY USER GUIDE

Insured's Name matches or begins with the value you enter. You must enter at least four characters.

- Policy Number — The search returns only records where the Policy Number matches or begins with the value you enter.
- Policy Effective Date Range — The search returns only records where the Policy Effective Date is in the specified date range.
- Policy Expiration Date Range — The search returns only records where the Policy Expiration Date is in the specified date range.

When you execute the search, all processed policy records matching your criteria will be returned in the search results, up to a maximum of 250 records. If the number of records exceeds 250, then 250 records will be returned and a message will display on the screen to refine your search results.

If the policy data for the displayed transaction exists in Manage Policy, the Policy Number will display as a hyperlink. When you click a Policy Number value in the grid, the Policy Detail page appears.

Note: The End of Coverage page enables you to print the information or download it in the form of an Excel spreadsheet. To print the information, click the Print Results button. You will be prompted to save a PDF file, which you can then open and print. To download the information, click the Download Results button. You will be prompted to save an Excel file. (If your browser is configured to display PDF files or Excel files, the search results will appear in a browser window, at which point, you can print or save the information.)

The checkbox in each row allows you to select records for inclusion in MyList, a personalized view of specific policy and transaction records that you have identified. (If you want to select all currently visible records in the grid, select the checkbox in the column heading row.) After the desired rows are selected, click the Add to MyList link. For information about accessing the records you have added, refer to the "MyList" section.

The lower right-hand corner displays the grid page numbers. Click a page number to access another page of the search results. The page also displays a dropdown box that lets you select the number of records to show per page. You can sort the list by clicking a column heading; the records will be sorted by the column values in ascending order. To reverse the sort order, click the column heading again.

MANAGE POLICY USER GUIDE

MYLIST

The MyList page is a personalized view of specific policy and transaction records that you have identified.

Note: Policies and transactions are added to the list from the Search Results page. When you click MyList in the menu, the MyList page appears.

The screenshot shows the 'Manage Policy' interface with a navigation bar containing links: SEARCH, CREATE TRANSACTION, SUBMISSIONS, IMPORT, ERROR REPORTS, END OF COVERAGE, MYLIST, and HELP. The 'My List' section is active, displaying a 'Policies/Transactions' tab. Below the tab is a message: 'Processed policies and transactions that are never submitted will remain on My List until you remove them or until they age out of ManagePolicy (refer to User Guide). Submitted transactions will be deleted, automatically, after the transaction has been processed.' It also states 'Your list has 5 records.' and provides a link '(+) Remove from MyList'. A table follows with columns: Carrier ID, Policy #, Effective Date, Coverage ID, Txn Code, Web Status, Insured Name, and ADDRESS. The table contains 5 rows of data.

<input type="checkbox"/>	Carrier ID	Policy #	Effective Date	Coverage ID	Txn Code	Web Status	Insured Name	ADDRESS
<input type="checkbox"/>	77777	WC2345	05/09/2014	1131002	14	Submitted	DAISYS FIESTAS	MERRIMACK BOSTON, MA 02020
<input type="checkbox"/>	77777	WC3456	04/06/2014	1131000			GOOFYS MINI MART	SOUTH BOSTON, MA 02020
<input type="checkbox"/>	77777	WC34567	04/15/2016	1131003	10	Validated	PLUTOS BISCUITS	FALLS BOSTON, MA 02020
<input type="checkbox"/>	77777	WC5678	03/01/2014	1131079	08	In Progress	SYLVESTERS SHACKS	MERRIMACK MERRIMACK, MA 02020
<input type="checkbox"/>	77777	WC5678	03/01/2014	1131079			SYLVESTERS SHACKS	MERRIMACK MERRIMACK, MA 02020

The Policies and Transactions tab lists all policies and unprocessed transactions that you have added to the list.

The Policy Number value is a link that allows you to access the Transaction Detail page or the Policy Detail page.

To remove a policy or transaction, select the checkbox in the grid and click the Remove from MyList link. (You can remove multiple records at once.) You will be prompted to confirm the removal; if you answer No to this prompt, the removal will be canceled.

Note: Validated transactions older than six months will be automatically removed from the system and will no longer be available on the MyList page. Once a Submitted transaction is processed by the Bureau, the status changes to Processed and will be removed from the MyList page.

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APPENDIX A: ABBREVIATIONS AND DEFINITIONS

Term / Abbreviation	Definition
WCIO	A voluntary association of statutorily authorized or licensed rating, advisory, or data service organizations that collect workers compensation insurance information in one or more states.
Bureau	Workers' Compensation state bureau. Also known as DCO.
CPAP	The MA Construction Classification Premium Adjustment Program
DCO	Data Collection Organization. A statutorily authorized or licensed rating, advisory, or data service organization that collects workers compensation insurance information, in one or more states. Often referred to as Bureau.
MA or WCRIBMA	The Workers' Compensation Rating and Inspection Bureau of Massachusetts
WCPOLS	The name for the WCIO file layout that carriers use to submit policy data to a DCO.
WCRATINGS	A web application that allows users to view rating worksheets online.
Manage USR	A web application that allows users to view unit statistical data online.
In Progress transactions	Transactions that are created within the application, but have not been validated. In Progress transactions can be viewed and modified, but cannot be used as the basis for new transactions.
Validated transactions	Transactions that are created and validated within the application, but have not been transmitted to the DCO's backend system for processing. Validated transactions can be viewed, modified, and used as the basis for new transactions.
Submitted transactions	Transactions that the USER has identified as ready for Bureau processing, but have not been processed by the DCO's backend system.
Processed transactions	Transactions that have been processed by the DCO's backend system. These include all transaction types, which have been processed by the Bureau, regardless of the source (Manage Policy, carrier system, etc.). Once a transaction that was created from Manage Policy is processed, it is no longer available in Manage Policy.

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Term / Abbreviation	Definition
Change transactions	Change Transactions are complete policy replacements; Transaction Codes 06, 08, 10, 14, and 15 are called Policy Replacements or Change Transactions. Change transactions contain all policy information and result in complete policy replacement.
Replacement policies	Generic terminology that is sometimes used interchangeably with the term "change transactions." A transaction contains all policy information, which "replaces" previously reported policy information.
"Key" change/replacements	Transactions that change the Policy Key Data fields, which are Carrier Code, Policy ID Number, or Policy Effective Date. "Key" changes have Transaction Code 06 and require a cancellation to cancel the replaced policy as of the effective date of the 06 Transaction.
Non "key" change / replacements	Transactions that make any change other than a "Key" change. These transactions can be one of the following: 04, 08, 10, 14 and 15.
Policy Status	<p>Policies that have been processed through the DCO's backend system have one of the following statuses:</p> <p>Active - The policy was active and in effect for the full policy term.</p> <p>Cancelled - The policy has been cancelled. The cancellation date falls between the effective date and the expiration date of the policy.</p> <p>Cancelled Flat - The policy has been cancelled on the policy effective date.</p> <p>Reinstated - The policy has been reinstated. The policy was previously cancelled, but has now been reinstated.</p> <p>Non-renewal - The policy has been cancelled on the expiration date of the policy and will not be renewed by the carrier.</p>

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Term / Abbreviation	Definition
End of Coverage Status	<p>A code that indicates if the policy and/or the subsequent policy are in force and providing coverage, as of the date on which the data was last updated:</p> <p>In-Force - The policy has a status of active, reinstated or non-renewed and the current date is before the policy expiration date and the policy is still in effect not expired or cancelled. Policies with the status of active, reinstated and nonrenewal are in-force until they expire or are cancelled.</p> <p>Expired - The policy status is active or reinstated or non-renewed and the current date is on or after the expiration date.</p> <p>Cancelled Mid Term - The policy has a status of cancelled, which means there is a non-reinstated cancellation during the policy period</p> <p>Cancelled Flat - The policy has a status of flat cancelled, which means there is a non-reinstated cancellation effective, on the policy effective date</p>
Continuing Coverage Status	<p>A code which indicates if and how coverage continues at the termination (expiration or cancellation) of the policy, as of the date the data was last updated:</p> <p>Continuing Coverage on Termination within Group - There is another policy within</p>
	<p>the coverage id that is effective on this policy's expiration or cancellation date, where the insuring carrier is within the same carrier group as the expiring carrier.</p> <p>Continuing Coverage at Expiration outside of the Group - There is another policy within the coverage id that is effective on this policy's expiration or cancellation date, but the insuring carrier is in a different carrier group.</p> <p>No Continuing Coverage at Expiration - There is no other policy in the coverage group that is effective on the expiration or cancellation date of this policy.</p>
Submission Status	<p>Indicates the status of a submission. The possible statuses are as follows:</p> <p>Accepted - The submission has been accepted.</p> <p>Rejected - The submission has been rejected.</p> <p>Unmatched – One or more of the transactions within the submission has a status of “Unmatched” (refer to Transaction Status).</p>

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Term / Abbreviation	Definition
Transaction Status	<p>Accepted – The transaction did not fail certain edits and was stored in the DCO's system.</p> <p>Accepted with Errors – The transaction failed some edits, but was stored in the DCO's system.</p> <p>Rejected – The transaction failed edits that prevented it from being stored in the DCO's system.</p> <p>Unmatched – The DCO's processing system was unable to store the transaction in a coverage ID. DCO staff will determine the correct coverage ID for the transaction and manually assign the transaction to a coverage or if necessary, reject the transaction. Note: Unmatched transactions undergo initial editing and upon reprocessing undergo additional editing. At each step, any errors will be included in Error Reports.</p> <p>Processed – The DCO's backend system could not store the data. DCO staff needs to review the data to determine the appropriate action. The transaction may have errors.</p>
Transaction Code	Code that identifies a specific kind of transaction. Refer to "Transaction Codes" in the "Creating Transactions" section for a definition of each Transaction Code."

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CONTACTS US

For questions on how to use MANAGE POLICY contact the Data Operations Department, dataoperations@wcribma.org.