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# IWCC EDI R3.1 FAQs

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Revised – 8/17/2020

## Trading Partners

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### 1. WHERE DO I FIND THE TRADING PARTNER AGREEMENT?

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**ANSWER:** It is available at the IWCC website on the EDI Implementation page or you can contact the IWCC EDI Coordinator at [IWCC-EDICoordinator@ebix.com](mailto:IWCC-EDICoordinator@ebix.com) and request a copy.

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### 2. WHERE SHOULD I SEND THE UPDATED TRADING PARTNER AGREEMENT?

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**ANSWER:** To [IWCC-EDICoordinator@ebix.com](mailto:IWCC-EDICoordinator@ebix.com).

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### 3. IF WE HAVE MULTIPLE BUSINESS UNITS UNDER ONE COMPANY, HOW MANY TRADING PARTNER AGREEMENTS SHOULD I SUBMIT?

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**ANSWER:** Just one.

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### 4. IF AN UNDERWRITING COMPANY IS SUBMITTING DIRECTLY TO THE IWCC AND THAT COMPANY ALSO HAS THIRD-PARTY ADMINISTRATORS SUBMITTING EDI INFORMATION, IS YOUR EXPECTATION THAT WE SUBMIT MULTIPLE TRADING PARTNER AGREEMENTS OR JUST ONE FOR THE UNDERWRITING COMPANY?

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**ANSWER:** Complete Trading Partner Agreements for the underwriting company that is submitting to the IWCC and Trading Partner Agreements for each third-party administrator that is submitting to the IWCC.

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### 5. IF AN ENTITY HAS MULTIPLE UNDERWRITING COMPANIES, IS THE EXPECTATION THAT ONE TRADING PARTNER AGREEMENT BE COMPLETED FOR EACH UNDERWRITING COMPANY?

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**ANSWER:** Yes, one Trading Partner Agreement per separate underwriting company.

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### 6. WHEN FILING CLAIMS THROUGH A VENDOR, IS A TRADING PARTNER AGREEMENT REQUIRED?

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**ANSWER:** Yes, the Trading Partner Agreement is between the claims filer and the jurisdiction.



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## 7. DO LOW VOLUME FILERS STILL NEED TO COMPLETE A TRADING PARTNER AGREEMENT?

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**ANSWER:** Yes.

## 8. WHO IS AUTHORIZED TO FILE TRADING PARTNER AGREEMENTS WITHIN THE COMPANY?

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**ANSWER:** Anyone who is authorized to sign contractual information on behalf of the company.

## 9. DO WE NEED TO COMPLETE ALL THE PAGES IN THE TRADING PARTNER AGREEMENT OR DO WE JUST NEED TO UPDATE THE TRADING PARTNER PROFILE PAGE?

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**ANSWER:** Update all applicable sections within the Trading Partner Agreement.

## 10. WHERE CAN TRADING PARTNERS OBTAIN THE JURISDICTION ASSIGNED IDS FOR THOSE COMPANIES LISTED ON THE TRADING PARTNER ID LIST?

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**ANSWER:** Jurisdiction Assigned IDs have not been issued and are not required on the Trading Partner ID List. The Jurisdiction Assigned ID column can be left blank on the Trading Partner Agreement.

## Testing Requirements

### 1. WHEN SHOULD I SEND THE FIRST BATCH OF CLAIMS FOR TESTING?

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**ANSWER:** Testing begins on February 25, 2019, and files can be sent from that date until May 24, 2019.

### 2. ARE THERE TESTING REQUIREMENTS FOR LOW FILERS?

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**ANSWER:** Yes, anyone expecting certification to start filing claims on the June 14, 2019 go-live date must test. The low filers will receive access to the online submission portal to conduct testing.



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## 3. IS THE TESTING COMPLETED BY THE CLAIM ADMINISTRATOR OR THE VENDOR?

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**ANSWER:** Testing is a collaboration between the vendor and the claim administrator. The vendor will submit the claim administrator's data, and that data will come from the claim administrator. Please see Question 4 for additional information.

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## 4. WE USE A VENDOR FOR PROCESSING EDI TRANSACTIONS. ARE WE REQUIRED TO COMPLETE TESTING, OR IS ONLY THE VENDOR REQUIRED TO TEST?

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**ANSWER:** Once the vendor is certified, all filers associated with that vendor are also certified. Therefore, testing is not required. It is, however, highly recommended. Trading partners should review the Illinois claim events and data requirements for reporting to understand the changes that must be made in order to comply with the new standard.

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## 5. IF A CLAIM ADMINISTRATOR FILES CLAIMS THROUGH A VENDOR, ARE ALL CLAIM ADMINISTRATORS REQUIRED TO TEST OR WILL A VENDOR TEST UTILIZING ONE OF ITS CLAIM ADMINISTRATORS SUFFICE TO CLEAR ALL CLAIM ADMINISTRATORS THAT FILE WITH THAT PARTICULAR VENDOR?

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**ANSWER:** EDI vendors already submitting IAIABC XML files to at least one R3.1 EDI jurisdiction at the time of testing are only required to complete connectivity testing requirements. Otherwise, the vendor is required to complete the full test plan. Once the vendor is certified, then all filers associated with that vendor will ride on the vendor's certification. We highly recommend that all filers test, but it is not mandatory to become certified if your vendor is already certified.

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## 6. SHOULD EXISTING PRODUCTION CLAIMS BE USED IN THE TEST ENVIRONMENT?

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**ANSWER:** Yes, use existing production claims for testing. The test must contain data from "actual claims" handled by the claim administrator, which may either be open or closed claim files.

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## 7. WHAT IS THE DAILY CUT-OFF TIME FOR RECEIVING FROIs/SROIs?

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**ANSWER:** 5 PM CST (6 PM EST).



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## 8. WHAT IS THE TURNAROUND TIME FOR THE FROI/SROI ACKNOWLEDGMENT FILE?

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**ANSWER:** Acknowledgements will be returned within 48 hours during testing and within 24 hours after the June 14, 2019 go-live date.

## FROI/SROI Filing Requirements

### 1. HOW DO WE REPORT CHANGES IN BENEFITS AND AMOUNTS?

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**ANSWER:** You may report errors on the SROI 02. For example, if payments for permanent partial disability benefits (030) were reported but temporary total disability benefits (050) were actually paid, then the correction can be made on a SROI 02. Otherwise, report changes in benefits and amounts on the FN or SA.

### 2. IS AN SA REQUIRED ON JUNE 14, 2019?

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**ANSWER:** No, the soonest a SA will be required is on the first bi-annual (6 month) date from the date of injury (DN0031) that falls after the R3.1 implementation date of June 14, 2019. For example, if the date of injury is on April 1, 2019, then the SA will be due on October 1, 2019.

### 3. DOES EMPLOYER KNOWLEDGE OF A CLAIM TRIGGER EDI REPORTING?

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**ANSWER:** The Date of Injury (DN0031) triggers the FROI 00 and 04. DN0040 Date Employer Had Knowledge of Injury does not trigger EDI reporting.

### 4. ARE WE REQUIRED TO REPORT WITHHOLDINGS?

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**ANSWER:** No.

### 5. ARE WE ALLOWED TO REPORT TIME-LOSS CLAIMS FEWER THAN 4 SCHEDULED WORK DAYS?

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**ANSWER:** Yes, you are allowed to report loss time claims with fewer than 4 scheduled work days, but the trigger event is the loss of more than 3 scheduled work days.



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## 6. ARE SUSPENSIONS REQUIRED TO BE REPORTED?

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**ANSWER:** No.

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## 7. IS THERE A PRINTED LIST OF THE FORMS THAT ARE REQUIRED TO BE FILED, SUCH AS THE INITIAL AND CLOSURE FORM?

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**ANSWER:** Yes, the requirements can be found in the Illinois R3.1 Event Tables on the EDI Implementation section of the IWCC website.

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## 8. IS ANY FORM OF IDENTIFICATION REQUIRED (SSN, PASSPORT, GREEN CARD, EMPLOYMENT VISA, OR STATE ASSIGNED ID)?

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**ANSWER:** No, the DN0270 (Employee ID Type Qualifier) edits are relaxed and the employee ID information is not reported.

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## 9. IS A FROI/SROI UR REQUIRED ON A CLOSED CLAIM EVEN IF NO FURTHER FILINGS ARE ANTICIPATED?

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**ANSWER:** Yes, the FROI/SROI UR is required for all closed claims within the IWCC specified time period. The Illinois R3.1 Event Tables specify that the FROI UR is required for all active and inactive claims (open, reopen, and closed) with DOI between January 1, 2018, and June 13, 2019, and all open or reopened claim with DOI between January 1, 2007, and December 31, 2017. A SROI UR must be sent prior to submitting any other Subsequent Reports of Injury for claims that were initiated before the R3.1 implementation date of June 14, 2019.

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## 10. IF A CLAIM IS CLOSED AND A FROI/SROI UR IS FILED, ARE ANY ADDITIONAL FILINGS EXPECTED?

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**ANSWER:** No additional claim filings are expected.

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## 11. ARE ALL CLAIMS FILED (MEDICAL ONLY AND LOST TIME)?

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**ANSWER:** Claims that result in the loss of more than 3 scheduled work days are expected. Specifics can be found in the Illinois R3.1 Event Tables, in the FROI 00 trigger value column—"New claim for Injuries and illnesses resulting in the loss of more than 3 scheduled work days." Only loss time claims are expected to be reported in EDI as per the statute. The details of the statute are found in the Illinois R3.1 Implementation Guide.



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**12. HOW DO I KNOW THE ORDER IN WHICH TO FILE MTCs? FOR EXAMPLE: TO DETERMINE IF A SROI AP, EP, IP, OR PY IS ACCEPTED FOLLOWING A FROI 04.**

**ANSWER:** MTC filing requirements are found in the Illinois R3.1 Event Tables and the sequencing requirements are found on the Sequencing tab of the Illinois R3.1 Edit Matrix.

**13. WHERE CAN I FIND VALID DN VALUES? FOR EXAMPLE: TO DETERMINE IF CLAIM TYPE CODE 'W' IS ACCEPTED ON FROI 00s AND FROI 04s**

**ANSWER:** The list of valid values is found on the Valid Value tabs in the Illinois R3.1 Edit Matrix.

**14. ARE WE ALLOWED TO REPORT MEDICAL ONLY CLAIMS?**

**ANSWER:** No, IWCC's requirement is reporting lost time claims, and medical only claims will not be accepted.

**15. WHAT SHOULD BE POPULATED IN THE EMPLOYEE DATE OF BIRTH (DN0052) IF THE INFORMATION IS UNKNOWN?**

**ANSWER:** If only the employee's age is known, an appropriate date can be calculated using the same month as the date of injury month and 01 for the day.

**16. HOW SOON CAN A SUB-ANNUAL (SA) BE FILED?**

**ANSWER:** The SA is accepted up to 7 days prior to the due date. Please refer to the Event Table for SA report trigger values and due dates.

**17. IF A PAID CLAIM CHANGES JURISDICTIONS, WHAT MTC IS EXPECTED FOR CANCELING / CLOSING A CLAIM?**

**ANSWER:** A FROI 01 (Cancel Entire Claim) can be filed to cancel the claim in the IWCC system.

**18. WHAT MTC SHOULD BE FILED TO REOPEN A CLAIM AFTER AN FN (FINAL) HAS BEEN ACCEPTED?**

**ANSWER:** To reopen a claim after the FN has been accepted, either an 02 can be filed to reopen the claim, followed by the next applicable MTC or an SA can be filed (when it's due) to reopen the claim and continue reporting.



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## Production Requirements

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### 1. WHAT DO I DO WITH CLAIM REPORTS BETWEEN JUNE 1 AND JUNE 14, 2019?

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**ANSWER:** There will be a quiet period between June 1 and June 14, 2019, when trading partners should not submit claim reports. Please submit appropriate reports via EDI beginning on the R3.1 implementation date of June 14, 2019. Any EDI claim reports submitted on the implementation date that would have otherwise been due during the quiet period will NOT be in violation of statutory deadlines.

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### 2. WILL PENALTIES FOR LATE FILING OF FROIs AND SROIs BE IN EFFECT ON JUNE 14, 2019? OR, IS THERE A PERIOD OF LENIENCY?

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**ANSWER:** Section 6(b) of the Illinois Workers' Compensation Act requires employers to file accident reports with the Commission and makes it a petty offense for failure to file any such reports. Trading partners should be aware that compliance with EDI reporting is mandatory even though no current plan exists for instituting a penalty program.

## Legacy Claims

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### 1. WILL WE HAVE A TRANSITION PERIOD AFTER JUNE 14, 2019, TO REPORT ALL URs?

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**ANSWER:** Yes, all URs for legacy claims are due by August 16, 2019.

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### 2. WE DO not HAVE ANY ELECTRONIC REPORTS FOR LEGACY CLAIMS. HOW WILL I FILE A UR?

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**ANSWER:** We accept both the FROI UR and SROI UR for these legacy claims and have relaxed data edits to accommodate trading partners without prior electronic reports. Please see the IWCC EDI tables for details.



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3. WHEN FILING THE FROI/SROI UR FOR ALL LEGACY CLAIMS, DOES THE JURISDICTION CLAIM NUMBER (JCN) NEED TO BE PROVIDED OR WILL THE STATE HAVE THAT INFORMATION?

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**ANSWER:** The JCN would not be contained in the FROI UR. Once the FROI UR is filed and accepted during testing and when EDI Claims R3.1 filing goes live, the JCN will be provided in the state's acknowledgement.

4. DOES THE STATE SEND BACK JCNs ON THE PAPER REPORTS?

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**ANSWER:** No, JCNs are not sent on paper reports.

5. WILL THE FROI AND SROI STILL BE ACCEPTED BY MAIL BEFORE JUNE 14, 2019?

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**ANSWER:** Yes, FROI and SROI will be accepted by mail until May 31, 2019. There will be a quiet period from June 1, 2019, to June 13, 2019, when no claims will be submitted. EDI Claims R3.1 submissions via XML file format will begin on June 14, 2019.

6. FOR THOSE WHO HAVE BEEN REPORTING CLAIMS VIA EDI, WILL A NEW JCN BE RETURNED WITH THE ACKNOWLEDGEMENT WHEN WE SEND THE FROI UR,?

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**ANSWER:** Yes.

7. TO WHAT EXTENT WILL ILLINOIS WANT HISTORICAL PAYMENT AND OTHER DATA ON FROI/SROI URs FOR LEGACY CLAIMS WHICH ARE CURRENTLY PAPER ONLY AND HAD NO PRIOR EDI FILINGS?

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**ANSWER:** Any payment data that was filed on paper would be included in the first FROI UR and SROI UR filings. Many DNs are listed as AA on the FROI and SROI UR transactions in the Illinois R3.1 Element Requirements Table. AA indicates "if applicable/available transaction accepted," so send as much information as is available for the claim. Please see the UR columns in the Illinois R3.1 Element Requirements Table for more details.

## Vendors

1. WHERE DO I FIND THE EDI VENDOR LIST?

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**ANSWER:** Please contact David Larson at [david.larson@illinois.gov](mailto:david.larson@illinois.gov) for a list of vendors that provide EDI services.





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## 2. HOW DO WE KNOW IF OUR VENDOR IS CERTIFIED?

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**ANSWER:** Contact your vendor directly or reach out to the IWCC EDI Coordinator.

## IAIABC and ACORD Memberships

### 1. IS AN IAIABC MEMBERSHIP REQUIRED TO SUBMIT EDI CLAIMS RELEASE 3.1 VIA XML?

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**ANSWER:** IAIABC membership is not required to submit claims to the IWCC via the R3.1 XML standard. An IAIABC membership includes, however, access to the Claims R3.1 standard and all materials. Non-members have the option to purchase the IAIABC Guide and Jurisdiction Profiles. The ACORD membership is required for access to the XML file layout and associated documentation.

### 2. DOES MY IAIABC MEMBERSHIP GET ME ACCESS TO THE ACORD MATERIALS THAT I NEED FOR THE IMPLEMENTATION?

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**ANSWER:** Currently, it does not. The IAIABC is negotiating, however, new contract terms with ACORD and has requested access to the XML standards for IAIABC members.

### 3. WHAT IS THE COST OF AN ACORD MEMBERSHIP?

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**ANSWER:** The IAIABC does not have insight to the ACORD's membership structure and cost. Please reach out to ACORD membership services directly to receive a quote.

### 4. WHERE CAN I FIND THE ACCEPTABLE XML SCHEMA FILE (XSD)?

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**ANSWER:** The XSD is available via an ACORD membership. The ACORD membership is required for access to the XML file layout and associated documentation. Please contact ACORD member services directly or feel free to contact Gregg Lutz ([glutz@iaiaabc.org](mailto:glutz@iaiaabc.org)) with the IAIABC for more information.



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## 5. IS IWCC PLANNING TO MOVE TO IAIABC'S XML STANDARD?

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**ANSWER:** Although the IAIABC has exited from ongoing support of the ACORD XML standard, the state has not made any changes to the EDI requirements that would cause an update to the current file layout or processing. The goal is to adopt the new IAIABC XML standard in the future. When a timeline has been established an announcement will be made in advance to give the EDI community time to make necessary updates.

## State Portal

### 1. WHO CAN USE THE ONLINE SUBMISSION PORTAL?

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**ANSWER:** Trading partners who meet the low filer definition can submit FROIs and SROIs via the online submission portal. Low Filers are defined as those trading partners who submit 250 workers' compensation claims or less to the IWCC on an annual basis.