

Welcome to the IWCC Public Portal for Self-Insurance and Assessments



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The Illinois Workers' Compensation Commission's New Web Portal

Self-Insurance Plus (SIP)

External Training Manual

Revision date: 8/3/2022

Table of Contents

<u>PORTAL USER POINTERS.....</u>	<u>3</u>
<u>INTRODUCTION TO SELF-INSURANCE PLUS (SIP).....</u>	<u>4</u>
<u>TYPES OF PORTAL USERS.....</u>	<u>5</u>
<u>SIP HOMEPAGE FOR SI COMPANY ADMINS</u>	<u>5</u>
<u>SIP HOME PAGE FOR NON-SELF-INSURANCE COMPANY ADMINS (NON-SI)</u>	<u>5</u>
<u>PROFILE AND CONTACT MANAGEMENT</u>	<u>6</u>
<u>SIP FOR THE SELF-INSURED EMPLOYER (SI COMPANY).....</u>	<u>6</u>
<u>ASSESSMENTS BUTTON.....</u>	<u>7</u>
<u>INITIAL APPLICATION FOR SELF-INSURANCE BUTTON.....</u>	<u>7</u>
<u>SUBSIDIARY/AFFILIATE APPLICATION FOR SELF-INSURANCE BUTTON</u>	<u>9</u>
<u>SELF-INSURERS ANNUAL PRIVILEGE RENEWAL BUTTON</u>	<u>9</u>
<u>DOCUMENTS BUTTON.....</u>	<u>10</u>
<u>COMPANY CERTIFICATES BUTTON.....</u>	<u>11</u>
<u>SUBMITTING ASSESSMENTS.....</u>	<u>11</u>
<u>SUBMITTING RATE ADJUSTMENT/SECOND INJURY FUND AND SELF-INSURERS SECURITY FUND ASSESSMENTS</u>	<u>13</u>
<u>OPERATIONS FUND (ICOP) ASSESSMENTS.....</u>	<u>16</u>
<u>FILING AN INITIAL APPLICATION FOR SELF-INSURANCE IN SIP</u>	<u>17</u>
<u>FILING A SUBSIDIARY APPLICATION FOR SELF-INSURANCE IN SIP</u>	<u>33</u>
<u>FILING A RENEWAL APPLICATION FOR SELF-INSURANCE IN SIP</u>	<u>44</u>
<u>SELF-INSURANCE TERMINATION REQUEST.....</u>	<u>56</u>

<u>FILING AN INITIAL APPLICATION FOR SELF-INSURANCE REQUIRED INFORMATION AND DOCUMENTS FOR THE SELF-INSURANCE PLUS SYSTEM</u>	<u>59</u>
<u>FILING A SUBSIDIARY APPLICATION FOR SELF-INSURANCE REQUIRED INFORMATION AND DOCUMENTS FOR THE SELF-INSURANCE PLUS SYSTEM</u>	<u>60</u>
<u>FILING A RENEWAL APPLICATION FOR SELF-INSURANCE REQUIRED INFORMATION AND DOCUMENTS FOR THE SELF-INSURANCE PLUS SYSTEM.....</u>	<u>61</u>
<u>UPLOADING MULTIPLE FILES WITHIN A DOCUMENT TYPE</u>	<u>62</u>
<u>GLOSSARY OF TERMS.....</u>	<u>63</u>
<u>FREEDOM OF INFORMATION ACT (FOIA).....</u>	<u>66</u>

Portal User Pointers

SIP works best with a Chrome or Edge web browser.

For Company Admins, make sure when setting up company contacts that you add individuals from your company who will be using SIP regularly, as well as those who will serve as backups to the primary users. Note all company contacts will have access to all documents submitted in the system and correspondence from the IWCC. Contact the IWCC at wcc.selfinsurance@illinois.gov if a contact should only see assessment information.

Keywords may be used by utilizing the wildcard character (*) when the user is not sure about the spelling or format of the application or assessment needed (such as West* for anything beginning with the word West). If you want to find anything with the word West in it, format the search as follows: *West* and click search.

If you are a contact that will be working with multiple companies in the SIP portal (ABC Company as well as XYZ Company), contact the IWCC at wcc.selfinsurance@illinois.gov to properly set up your account. The message should state that you need to be a multi-company contact in SIP.

Use of the registration link on the Portal page is only for initial online registration of a Company Contact representing either:

- A. A company not currently Self-Insured and initiating the process of applying for Private Self-Insured Employer certification for the Self-Insurance privilege, or
- B. A company not already registered with the IWCC as an Insurance Company, Local Public Entity, or Pools-Group WC/Intergovernmental/Not for Profit Company to comply with IWCC Assessment requirements to receive and pay IWCC assessments.

The registration of ALL other Company Contacts is initiated by a registered SIP Company Administrator or IWCC staff. If you have any doubt about the advisability of using the Registration link, please contact the IWCC at wcc.selfinsurance@illinois.gov.

To register for SIP, click the *Register* button in the top right corner. If you try to register an email address and get an error message stating the email already exists in Okta, contact the IWCC at wcc.selfinsurance@illinois.gov for assistance or click the *Contact Us* link on the bottom of the SIP homepage.

Non-Self-Insured companies will not be able to add subsidiaries or affiliates from the portal. Contact the IWCC via email at wcc.selfinsurance@illinois.gov for assistance. Include the *Company Name, Street Address, City, State, Zip Code, FEIN, and the Company type (insurance Company, Local Public Entity, or Pools-Group WC/Intergovernmental/Not-For-Profit)*

so the IWCC can add the correct subsidiary/affiliate information into your profile. You may also click the *Contact Us* link on the bottom of the SIP homepage.

To stay up to date on self-insurance information from the IWCC, click the *Help* link on the bottom of the SIP homepage. This link takes you to the IWCC's Self-Insurance information page. To go to the IWCC homepage, click on ©IWCC. Clicking the *Terms & Conditions* link provides the terms upon which you agree to use the SIP portal.

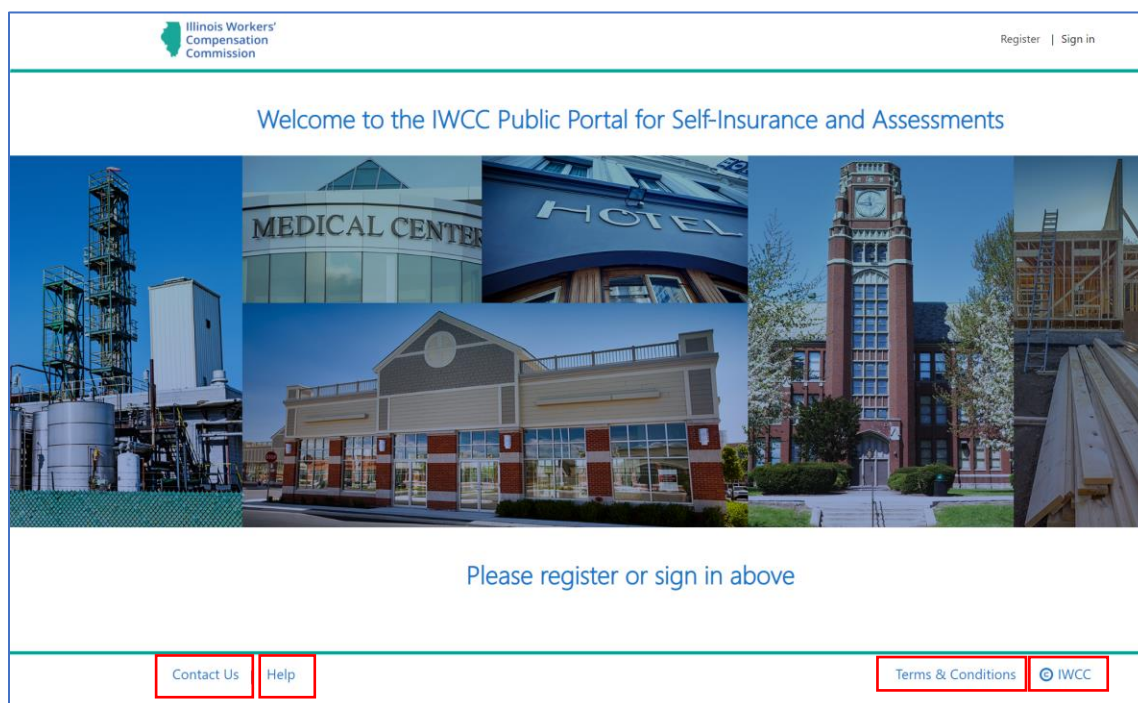


Figure 1.0

Introduction to Self-Insurance Plus (SIP)

SIP is the Illinois Workers' Compensation Commission's new electronic web portal for submitting initial applications, sub applications, and renewal applications, as well as assessments, and more! The portal requires you to register in the system, create an Okta account with multi-factor authentication, and create a password to keep your information secure.

The new portal is designed for a variety of functions. Companies requesting the self-insurance privilege can utilize the SIP portal for:

- Assessments: manage filing and processing of assessments.
- Initial Application: file a new application for self-insurance.
- Sub Application: add a subsidiary or affiliate to an existing approved application.
- Renewal Application: renew your application for self-insurance.
- Documents: provides the ability to upload documents to the IWCC electronically.
- Company Certificates: manage SIP certificates of coverage electronically.

Non-SI Companies can use SIP for managing their *Assessments*. Both SI and Non-SI Companies may access the SIP system by going to <https://iwccsip.dynamics365portals.us/> . Figure 1.0 is the view of the SIP homepage before registration or logging into the system.

Types of Portal Users

Portal users can be one of two types: Non-SI Companies (insurance companies, municipalities, pools) and Self-Insurance Companies (SI Companies (private self-insurers)). The options available to each are different and described in detail below.

SIP Homepage for SI Company Admins

The SIP portal has different functions available depending on the account type registered within the system. If an account is registered as a private self-insurer, users can serve as a SI Company Admin or have a SI Company Staff role.

- SI Company Admin can access all portal features and manage company users. This permission allows assignment of security roles as well as sending invitations to other company portal users to join the company's account. The SI Company Admin can assign the Company Admin role to multiple people in the company. In other words, multiple company admins are permitted. The commission supports and recommends multiple company admins.
- SI Company Staff can access all portal features, but they will be unable to add new portal users, assign web roles, or send invitations.
- SI Company Staff will have access to all documents submitted in the system and correspondence from the IWCC. Contact the IWCC at wcc.selfinsurance@illinois.gov if a contact should only see assessment information.

SIP Home Page for Non-Self-Insurance Company Admins (Non-SI)

Non-SI Companies need access to the SIP Portal for assessment purposes only. Non-SI Companies have two roles in the portal: Non-SI-Company Admin or Non-SI-Company Staff.

- Non-SI Company Admin can access Assessments and manage company users. This permission allows assignment of security roles as well as sending invitations to other company portal users to join the company's account. The commission supports and recommends multiple company admins.
- Non-SI Company Staff can access Assessments, but they are unable to add new portal users, assign web roles, or send invitations.

Roles at a Glance

There are two roles within the SIP system, regardless of registration company type. A *company admin* and a *company staff* role.

- SI Company Admin can access all portal features within SIP including managing company portal users.
- SI Company Staff can access all portal features, but they cannot assist with managing portal users.
- Non-SI Company Admin can access Assessments and manage company portal users.
- Non-SI Company Staff can access Assessments but cannot assist with managing portal users.

Profile and Contact Management

Portal users with *Company Admin* permissions can manage their company profile. All users can manage their contact information in the portal. **The only exception to this is a multi-company contact and that will be discussed later.** There is a drop-down arrow to the right of the logged in user's name. Click this arrow to have the option to access the *Contact Profile*, *Company Contacts*, *Company Details*, and *Sign Out* to log out.

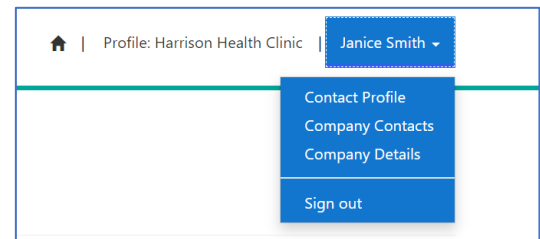


Figure 1.1

SIP for the Self-Insured Employer (SI Company)

When a Self-Insured Company Contact is logged in, the SIP homepage displays six (6) buttons, as shown in figure 1.2. A brief description of the buttons follows (from left to right, top to bottom order).

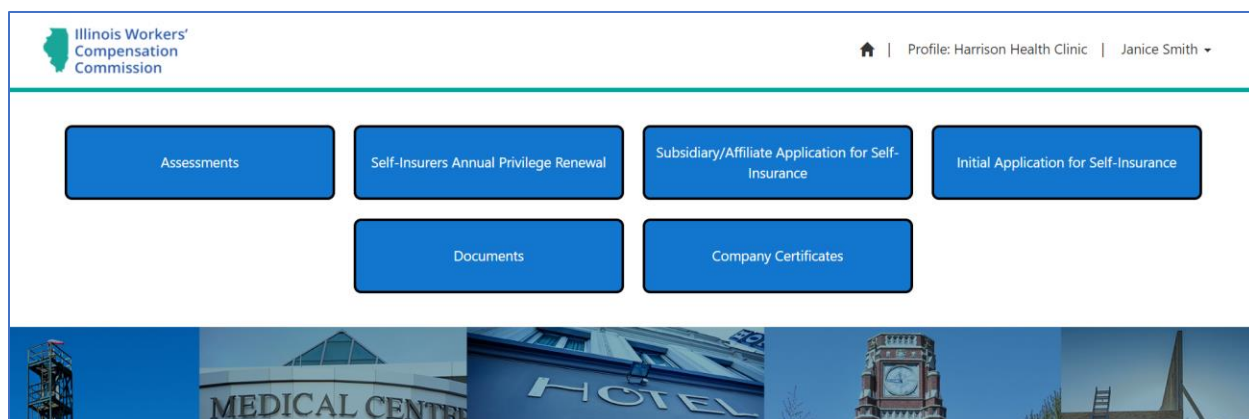


Figure 1.2

Assessments Button

Clicking the Assessments button takes the user to the *Assessments* summary page. This page includes summary details of the: Rate Adjustment Fund (RAF)/Second Injury Fund (SIF), Self-Insurers Security Fund (SISF), and Operations assessments. See figure 1.3. For each assessment, there is a *Current* and *History* option which is accessed by clicking the dropdown arrow. Note: when accessing the Assessments page, the default view is the Security Fund Assessments-Current.

For more detailed information, please see the section on Assessments.

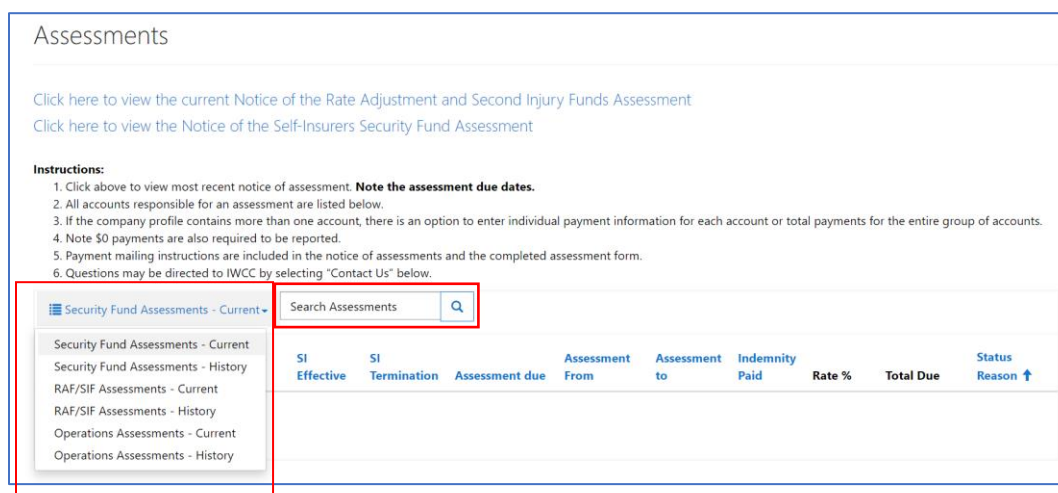


Figure 1.3

Initial Application for Self-Insurance Button

Clicking this button takes the user to the Initial Application for Self-Insurance summary page, allowing an employer to apply for self-insurance. Click *Create Application*. See figure 1.4. Prior

to final submission of the application, the user can work on the application and save it as a draft. The draft application will be listed in the summary. When the user is ready to continue the application process, click the down arrow on the far right to open/edit/finalize the application. *Once an application has been submitted to the IWCC, it cannot be edited, only viewed* (figure 1.5). Note: prior to completing an application, view the Required Information and Documents instructions on page 59 or on the IWCC homepage. Click the *Help* link on the bottom of the SIP portal page to go to the IWCC's Self-Insurance information page. For instructions on entering an application, see section *Filing an Application for Self-Insurance in SIP*.

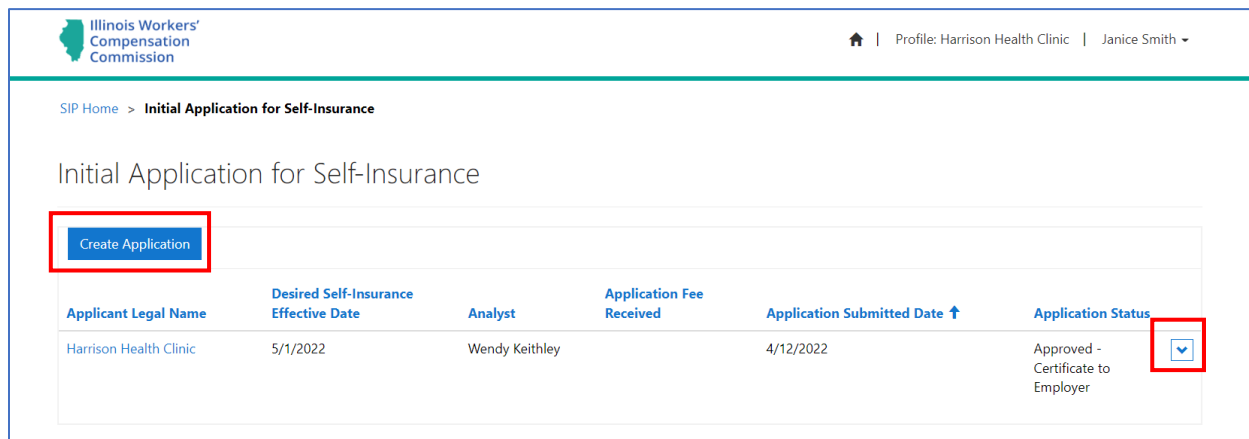


Figure 1.4

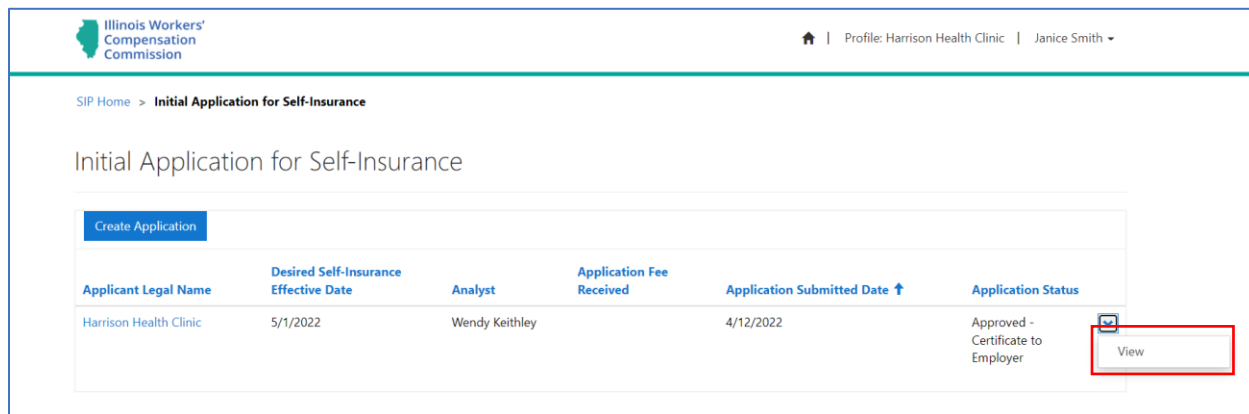


Figure 1.5

Subsidiary/Affiliate Application for Self-Insurance Button

Clicking this button takes the user to the Subsidiary/Affiliate Application for Self-Insurance summary page allowing a current self-insured employer to complete a self-insurance application for a subsidiary/affiliate. Click *Create New* (figure 1.6). The summary page also displays existing subsidiary electronic applications. Note: a subsidiary/affiliate application cannot be submitted if the parent's initial application or current renewal application is pending.

Applicant Legal Name	Desired Self-Insurance Effective Date	Application Fee Received	Affidavit Received	Application Submitted Date ↑	Application Status	Analyst
Harrison Health Clinic	7/1/2022				New	

Figure 1.6

Prior to completing an application, view the *Required Information* and *Documents* instructions on page 60 or on the IWCC homepage. Click the *Help* link on the bottom of the SIP portal page to go to the IWCC Self-Insurance information page. For instructions on entering an application, see section *Filing a Subsidiary Application for Self-Insurance in SIP*.

Self-Insurers Annual Privilege Renewal Button

Every primary self-insured employer must file a yearly renewal to maintain its self-insurance privilege. Clicking this button takes the user with SI permissions to the Renewal Application summary page which displays a view of the user's current and prior electronic renewal applications. The system will notify the primary and secondary company contacts when the renewal application process is available for completion. Click the dropdown arrow next to the new renewal application to start the application or click on a prior renewal to view (figure 1.7).

Note: prior to completing a renewal application, view the *Required Information and Documents* instructions on page 61 or on the IWCC homepage. Click the *Help* link on the bottom of the SIP portal page to go to the IWCC's Self-Insurance information page. For instructions on entering a renewal, see section *Filing a Renewal Application for Self-Insurance in SIP*.

Profile: Harrison Health Clinic | Janice Smith

[SIP Home](#) > **Self-Insurers Annual Privilege Renewal**

Self-Insurers Annual Privilege Renewal

Click the down arrow to view the renewal.

Profile	Renewal Year	Self-Insurer Name	Analyst (Owner)	Modified Date	Renewal Application Fee Received (Y/N)	Renewal Application Status	Date submitted ↑	Date Sent	
Harrison Health Clinic	2022	Harrison Health Clinic	# Fran Davis	6/2/2022 2:47 PM		Renewal Sent		5/2/2022	▼

Figure 1.7

Documents Button

Clicking this button takes the user to summary page listing existing security instruments, excess coverage certifications, and additional documents submitted to the IWCC (figure 1.8). Portal users can upload new documents to existing records or add a new document as requested by the IWCC. If information for a specific document is displayed incorrectly, contact the IWCC.

Security Instruments

Listed below are the current Security Instruments on file with the Workers' Compensation Commission. To submit a security amendment or new security:

1. If a blank security form was not included in IWCC correspondence, download the applicable security document (i.e. Self-Insurer's Surety Bond, Escrow Agreement, Agreement to Post Letter of Credit; related security riders and amendments) from the IWCC website (<https://www2.illinois.gov/sites/iwcc/resources/Pages/forms.aspx>).
2. Confirm that the document to be uploaded is complete and signed by all required representatives and corporate seals, if any, are applied.
3. Select "Add New Security Instrument." From the dropdown menu, select the type of document being provided and enter applicable information. Select "Submit."
4. Select dropdown arrow next to new document and "Upload Document."
5. Repeat Steps 3-4 for each additional document.
6. Once the documents have been submitted, you will receive an email notification acknowledging receipt.
7. If the document requires the Chairman's signature, you will receive an additional email notification when the signed copy is available to view in the portal.
8. Note: Original Letters of Credit and Letters of Credit Amendments must be forwarded to the IWCC by the Issuing Bank. In addition, the employer may upload a copy.

Search Security Instrument

Type of Security Instrument	Amount	Security Instrument Number	Surety Company or Bank	Status Reason
There are no records to display.				

Excess Coverage

Listed below is the most recent Excess Insurance policy information on file with the Workers' Compensation Commission. To submit a new policy:

1. Download a blank Certificate of Excess Insurance form from the IWCC website (<https://www2.illinois.gov/sites/iwcc/resources/Pages/forms.aspx>).
2. Confirm the certificate of excess to be uploaded is complete and signed by all required representatives.
3. Select "Add New Excess Policy." Enter the applicable information and select "Submit."
4. Select dropdown arrow next to new document and "Upload Document."
5. Upon submission of the certificate, you will receive an email notification acknowledging receipt.

Search Excess Coverage

Excess Insurance Carrier	Effective Date ↓	Expiration Date ↓	Policy Number	Status Reason
There are no records to display.				

Additional Documents

Listed below are the most recent documents on file with the Workers' Compensation Commission.

To provide a new Parent Guaranty or Amendment:

1. If the form was not included in IWCC correspondence, download it from the IWCC website (<https://www2.illinois.gov/sites/iwcc/resources/Pages/forms.aspx>).
2. Confirm that the guaranty or amendment is complete and signed by all required representatives and corporate seals, if any, are applied.
3. Select "Add Documents." From the dropdown menu, select the type of document being provided and "Submit."
4. Select dropdown arrow next to new document and "Upload Document."

To provide a Service Agency Agreement, Quarterly Financial Statement, or any other document:

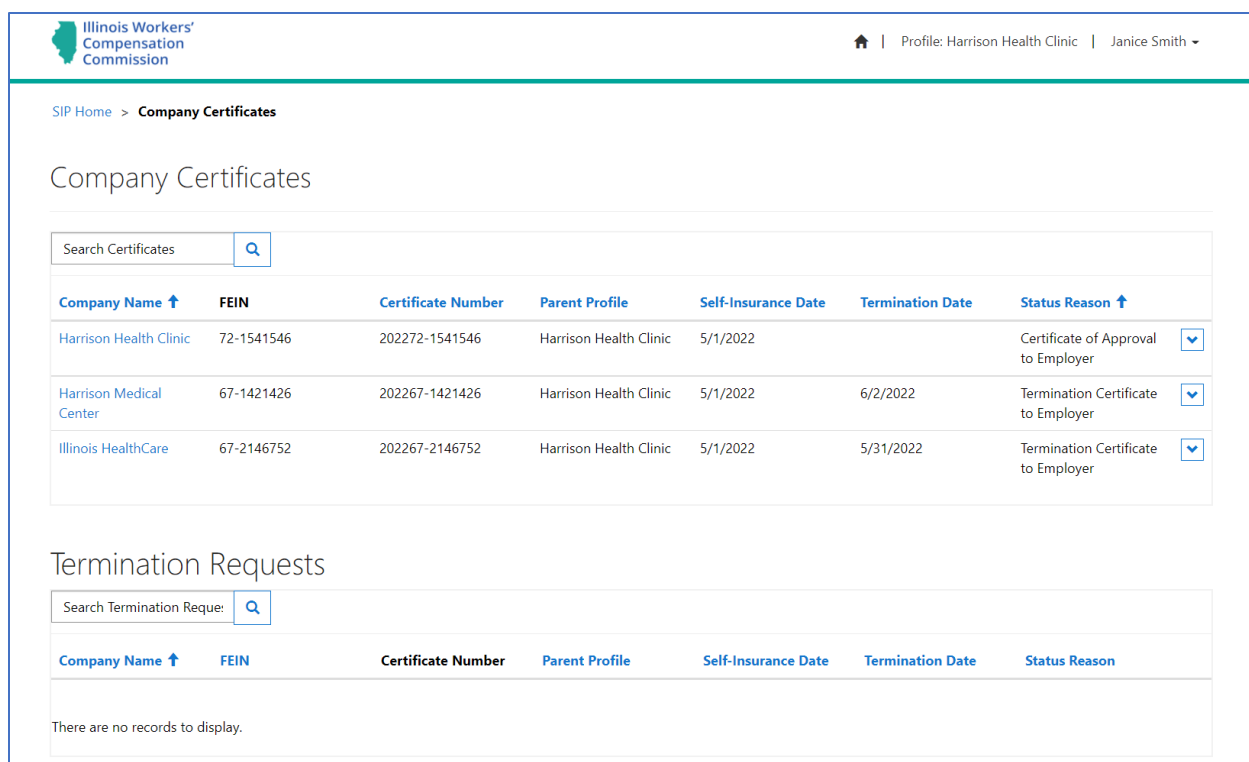
1. Select "Add Documents." From the dropdown menu, select the type of document being provided and "Submit."
2. Select dropdown arrow next to new document and "Upload Document."

Search Documents

Figure 1.8

Company Certificates Button

Clicking this button takes the user to a summary page listing certificates issued, and termination requests made in the electronic system (figure 1.8). The user may download and print a certificate, if the certificate is not in a pending status, by clicking on the down arrow next to the activate certificate. Also, to request a self-insurer be terminated from the self-insurance program, click the down arrow next to the self-insurer's certificate record and select *Create Termination Request*.



Company Name ↑	FEIN	Certificate Number	Parent Profile	Self-Insurance Date	Termination Date	Status Reason ↑
Harrison Health Clinic	72-1541546	202272-1541546	Harrison Health Clinic	5/1/2022		Certificate of Approval to Employer
Harrison Medical Center	67-1421426	202267-1421426	Harrison Health Clinic	5/1/2022	6/2/2022	Termination Certificate to Employer
Illinois HealthCare	67-2146752	202267-2146752	Harrison Health Clinic	5/1/2022	5/31/2022	Termination Certificate to Employer

Company Name ↑	FEIN	Certificate Number	Parent Profile	Self-Insurance Date	Termination Date	Status Reason
There are no records to display.						

Figure 1.9

Submitting Assessments

Registered users (SI and Non-SI portal users) can see details of their assessments within SIP. SI employers can view the following assessments: Rate Adjustment Fund (RAF) and Second Injury Fund (SIF); Self-Insurers Security Fund (SISF); and Operations fee. Non-SI employers can view the following assessments: Rate Adjustment Fund (RAF) and Second Injury Fund (SIF); and Security Fund (SISF) assessments.

The assessment notices and due dates are available in the portal. The Assessment page has two links (circled below): one for the Notice of the Rate Adjustment and Second Injury Fund Assessment and another for the Notice of the Self-Insurers Security Fund Assessment. Clicking either of these links takes the portal user to the fund specific Notice of Assessment, allowing the user to download or print the document(s) (figure 2.0).

Profile: Harrison Health Clinic | Janice Smith

SIP Home > Assessments

Assessments

[Click here to view the Notice of the Rate Adjustment and Second Injury Funds Assessment](#)
[Click here to view the Notice of the Self-Insurers Security Fund Assessment](#)

Instructions:

1. Click above to view most recent notice of assessment. **Note the assessment due dates.**
2. All accounts responsible for an assessment are listed below.
3. If the company profile contains more than one account, there is an option to enter individual payment information for each account or total payments for the entire group of accounts.
4. Note \$0 payments are also required to be reported.
5. Payment mailing instructions are included in the notice of assessments and the completed assessment form.
6. Questions may be directed to IWCC by selecting "Contact Us" below.

Security Fund Assessments - Current
Search Assessments

Year	Account	FEIN	SI Effective	SI Termination	Assessment due	Assessment From	Assessment to	Indemnity Paid	Rate %	Total Due	Status Reason
1999	Harrison Medical Center	67-1421426			6/30/2022	1/1/2021	3/31/2021	\$50,000.00	0.6000	\$300.00	Submitted

Figure 2.0

As shown in Figure 2.1, clicking the down arrow (outlined for reference) allows the portal user to select the assessment type as well as choose current or historical data, depending on the need.

Instructions:

1. Click above to view most recent notice of assessment. **Note the assessment due dates.**
2. All accounts responsible for an assessment are listed below.
3. If the company profile contains more than one account, there is an option to enter individual payment information for each account or total payments for the entire group of accounts.
4. Note \$0 payments are also required to be reported.
5. Payment mailing instructions are included in the notice of assessments and the completed assessment form.
6. Questions may be directed to IWCC by selecting "Contact Us" below.

RAF/SIF Assessments - Current
Search Assessments

Year	Account	Assessment From	Assessment to	Assessment due	Indemnity Paid 6 Months	RAF Rate %	RAF Amount Due	SIF Rate %	SIF Amount Due	Total Due	Total Amount Received (RAF/SIF)	Status Reason
2022-3	Harrison Health Clinic	1/1/2022	6/30/2022	4/19/2022	\$5,000,000.00	0.6250	\$31,250.00	0.0625	\$3,125.00	\$34,375.00		Submitted
2022-3	Harrison Medical Center	1/1/2022	6/30/2022	4/19/2022	\$0.00	0.6250	\$0.00	0.0625	\$0.00	\$0.00		Submitted
2022-1	Harrison Medical Center	1/1/2022	6/30/2022	9/15/2022	\$0.00	0.6250	\$0.00	0.0625	\$0.00	\$0.00		Active
2021-2	Harrison Health Clinic	7/1/2021	12/31/2021	3/15/2022	\$1,000,000.00	0.6250	\$6,250.00	0.0625	\$625.00	\$6,875.00		Submitted

Figure 2.1

RAF/SIF Assessments - Current
Search Assessments

Year	Account	Assessment From	Assessment to	Assessment due	Indemnity Paid 6 Months	RAF Rate %	RAF Amount Due	SIF Rate %	SIF Amount Due	Total Due	Total Amount Received (RAF/SIF)	Status Reason
2022-1	Harrison Health Clinic	1/1/2022	6/30/2022	9/15/2022	\$1,000,000.00	0.6250	\$6,250.00	0.0625	\$625.00	\$6,875.00		Active
2022-3	Harrison Health	1/1/2022	6/30/2022	4/19/2022	\$5,000,000.00	0.6250	\$31,250.00	0.0625	\$3,125.00	\$34,375.00		Submitted

Figure 2.2

Notice the view on the screenshot above (figure 2.2) is of RAF/SIF Assessments – Current. There are two assessments listed, one with a *Submitted* assessment and the other with an *Active* status. Portal users can complete an assessment if the assessment is in active status. By clicking the assessment record under the year column or by selecting the down arrow on the right, the portal user can enter the assessment fields to complete the assessment, print, upload, and submit it to the IWCC. Once an assessment has been submitted to the IWCC, it cannot be edited. See figure 2.3 and note that *view* is the only option for the assessment.

Year	Account	Assessment From	Assessment to	Assessment due	Indemnity Paid 6 Months	RAF Rate %	RAF Amount Due	SIF Rate %	SIF Amount Due	Total Due	Amount Received (RAF/SIF)	Status Reason ↑
2022-5	Harrison Health Clinic	1/1/2022	6/30/2022	8/17/2022	\$6,700,000.00	0.6250	\$41,875.00	0.0625	\$4,187.50	\$46,062.50		Active
2022-3	Harrison Health Clinic	1/1/2022	6/30/2022	4/19/2022	\$5,000,000.00	0.6250	\$31,250.00	0.0625	\$3,125.00	\$34,375.00		Submitted

Figure 2.3

Submitting Rate Adjustment/Second Injury Fund and Self-Insurers Security Fund Assessments

The portal user will receive an email from SIP (wcc.SIPNoReply@illinois.gov) when an assessment has been issued and ready for completion. Example emails are shown in figure 2.4 and 2.5.

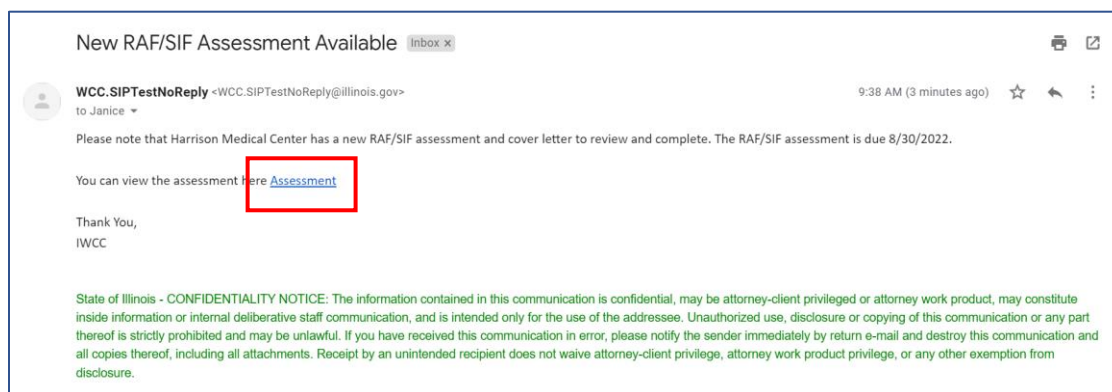


Figure 2.4

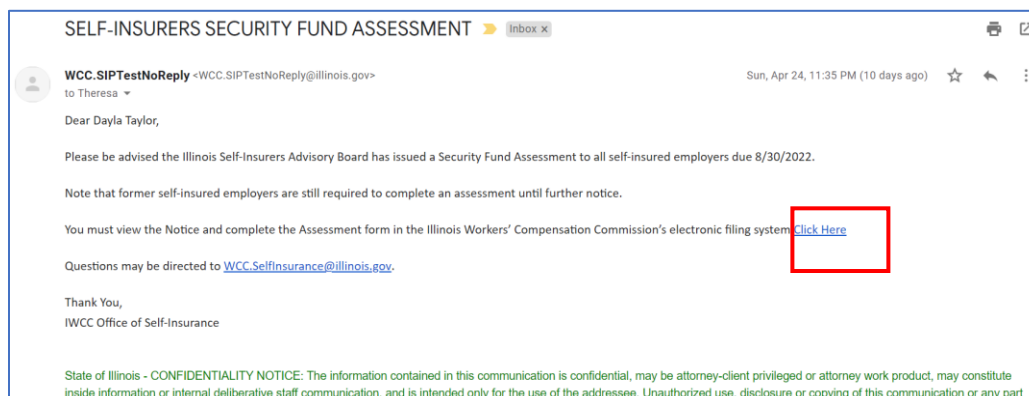
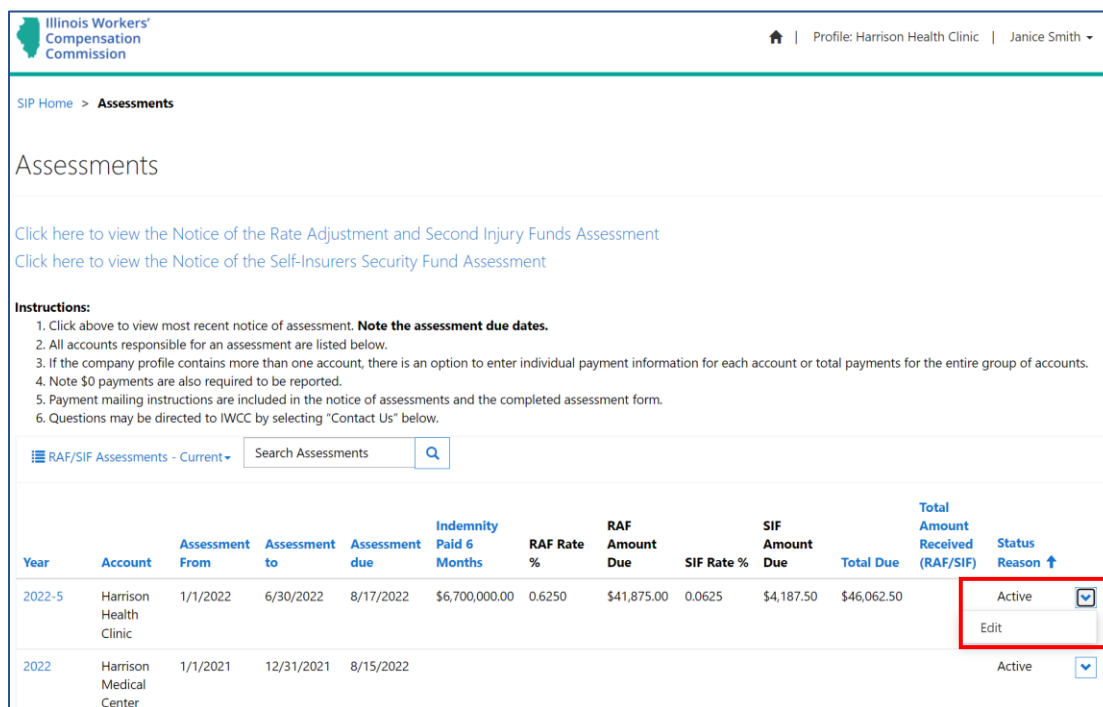


Figure 2.5

The portal user can click the *Assessment* link in the email or go to Assessments on the SIP homepage (<https://iwccsip.dynamics365portals.us/>). By clicking the down arrow next to the *active* assessment, a menu appears with an *Edit* option (figure 2.6).



Illinois Workers' Compensation Commission

Profile: Harrison Health Clinic | Janice Smith

SIP Home > Assessments

Assessments

[Click here to view the Notice of the Rate Adjustment and Second Injury Funds Assessment](#)
[Click here to view the Notice of the Self-Insurers Security Fund Assessment](#)

Instructions:

1. Click above to view most recent notice of assessment. **Note the assessment due dates.**
2. All accounts responsible for an assessment are listed below.
3. If the company profile contains more than one account, there is an option to enter individual payment information for each account or total payments for the entire group of accounts.
4. Note \$0 payments are also required to be reported.
5. Payment mailing instructions are included in the notice of assessments and the completed assessment form.
6. Questions may be directed to IWCC by selecting "Contact Us" below.

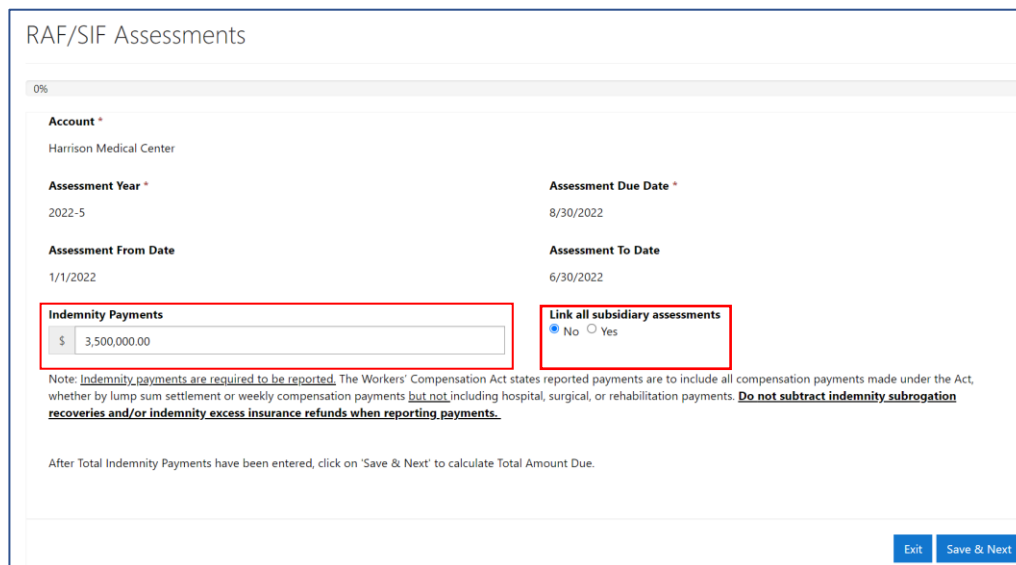
RAF/SIF Assessments - Current

Search Assessments

Year	Account	Assessment From	Assessment to	Assessment due	Indemnity Paid 6 Months	RAF Rate %	RAF Amount Due	SIF Rate %	SIF Amount Due	Total Due	Total Amount Received (RAF/SIF)	Status	Reason
2022-5	Harrison Health Clinic	1/1/2022	6/30/2022	8/17/2022	\$6,700,000.00	0.6250	\$41,875.00	0.0625	\$4,187.50	\$46,062.50		Active	
2022	Harrison Medical Center	1/1/2021	12/31/2021	8/15/2022								Active	

Figure 2.6

A new window displays (figure 2.7) to complete the assessment. As shown, indemnity payments of \$3,500,000 were reported by clicking in the payment box and typing the amount. There is also the option to link the subsidiaries into one assessment or leave them separate: select yes or no depending on your preference. There are instructions on the webpage to guide you through the process. Click *Save & Next*.



RAF/SIF Assessments

0%

Account *

Harrison Medical Center

Assessment Year *

2022-5

Assessment Due Date *

8/30/2022

Assessment From Date

1/1/2022

Assessment To Date

6/30/2022

Indemnity Payments

\$ 3,500,000.00

Link all subsidiary assessments

☒ No ☐ Yes

Note: Indemnity payments are required to be reported. The Workers' Compensation Act states reported payments are to include all compensation payments made under the Act, whether by lump sum settlement or weekly compensation payments but not including hospital, surgical, or rehabilitation payments. Do not subtract indemnity subrogation recoveries and/or indemnity excess insurance refunds when reporting payments.

After Total Indemnity Payments have been entered, click on 'Save & Next' to calculate Total Amount Due.

Exit Save & Next

Figure 2.7

Clicking *Save & Next* calculates the amount due and presents the totals on the next screen (figure 2.8). It also provides a summary of the assessment fields and has options on the bottom right to go to the Previous page. If an error has been made, Exit the page (*Exit does not save your changes to the current page*), or Apply Signature & Next. By clicking the *Apply Signature & Next* button, a pop-up appears asking you to confirm you want to sign the assessment; Click yes to move to the next step.

The screenshot shows the 'RAF/SIF Assessments' page. At the top, a breadcrumb trail reads 'SIP Home > Assessments > RAF/SIF Assessments'. Below this is a progress bar indicating 50% completion. A note states: 'Payment mailing instructions are included in the Notice of assessments and the completed assessment form.' The main content area displays several fields: 'Indemnity Paid 6 Months' with a value of '\$3,500,000.00'; 'RAF Assessment %' with a value of '0.6250'; 'SIF Assessment %' with a value of '0.0625'; 'RAF Amount Due' with a value of '\$21,875.00'; 'SIF Amount Due' with a value of '\$2,187.50'; and 'Total Amount Due' with a value of '\$24,062.50'. There are also fields for 'Assessment Signed by' and 'Assessment Signed On'. At the bottom right, there are three buttons: 'Previous', 'Exit', and 'Apply Signature & Next'. The 'Apply Signature & Next' button is highlighted with a red rectangle.

Figure 2.8

The final step is the option to attach any supporting documents. This is not required. Simply click the *Attach Documents* button, select the document type: options are RAF/SIF Signed Assessment Form, Self-Insurer Security Fund Assessment Form, Operations Assessment Letter, and Check Copy, (see figure 2.9), click *Save & Next*. Then, click the *Add files* button, select the pertinent file from your computer, click the *Add files* button, and then click the *Upload* button. The document shows up on the screen with the document type listed, the name of the person who submitted it as well as the *Created On* date. If you have inadvertently added the wrong document for upload, you may click the down arrow next to the incorrect document and delete it. Repeat the steps to add the correct document. Please note: to print the assessment for your records, click the *Print* button located on the bottom right of the screen. Clicking the print button begins the download of the assessment. Once the assessment is downloaded, you can print it. Once everything is complete and any documents are uploaded into SIP, click *Submit to IWCC*. Payment instructions are included in the notice.

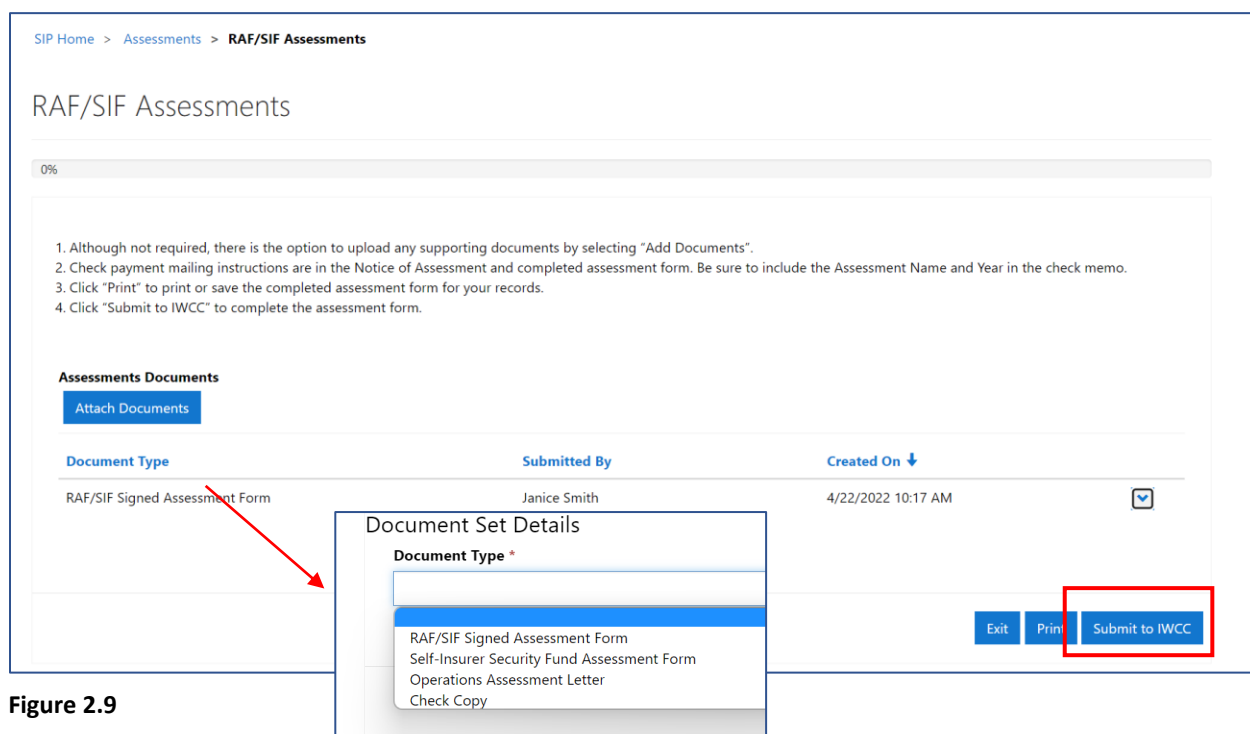


Figure 2.9

Operations Fund (ICOP) Assessments

The portal user receives an email from SIP (wcc.signoreply@illinois.gov) when an assessment has been issued and is ready for review. An example ICOP email is shown in figure 3.0. Within it is a link to the assessment in SIP.

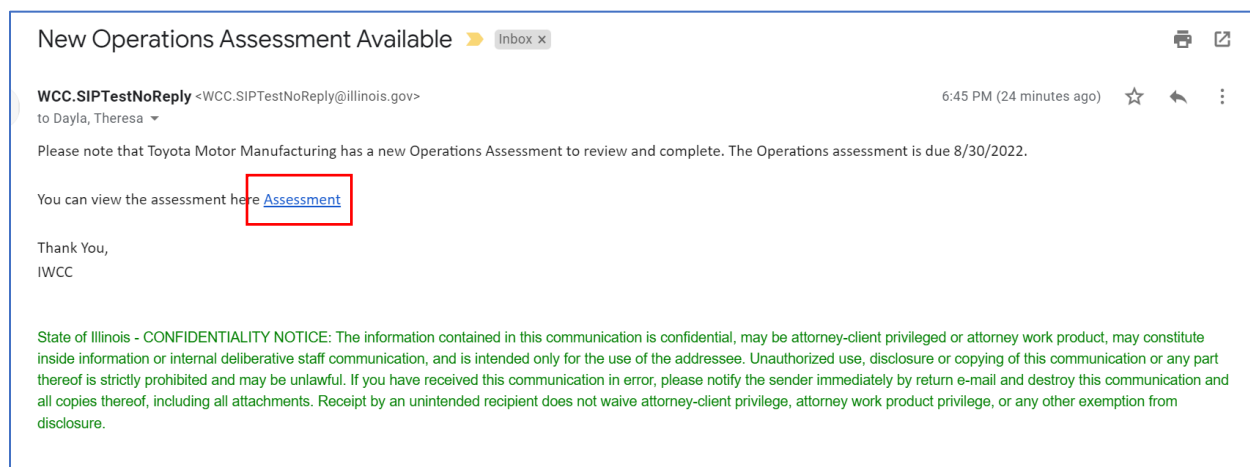


Figure 3.0

The portal user can click the Assessment link (marked in figure 3.0) in the email or go directly to the Assessments on the SIP homepage (<https://iwccsip.dynamics365portals.ux/>). The ICOP assessment can be downloaded/printed by clicking the *Print* button (see Figure 3.1 below). Payment instructions are included in the notice.

Illinois Workers' Compensation Commission

Profile: Harrison Health Clinic | Janice Smith

SIP Home > Assessments > View ICOP Assessments

View ICOP Assessments

Assessment Year *	Assessment Due Date *
2022	8/15/2022
Renewal Application Year	Reported Wages Calendar year
2021	2020
Reported Wages	Total Amount Due

Back Print

Figure 3.1

Filing an Initial Application for Self-Insurance in SIP

An initial application is filed when a private employer seeks approval for the self-insured privilege. Note: prior to entering an application, view the *Required Information and Documents* instructions on page 59 or on the IWCC homepage. Click the *Help* link on the bottom of the SIP portal page to go to the IWCC's Self-Insurance information page.

User navigates to the SIP portal and logs into their Self-Insurance account by clicking *Sign In*. Click *Initial Application for Self-Insurance* button, as shown in figure 3.2.

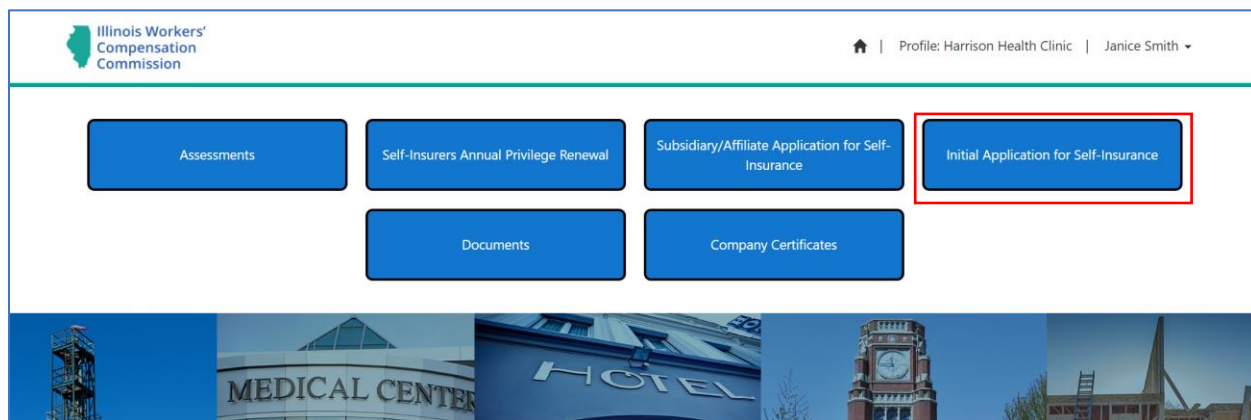


Figure 3.2

Illinois Workers' Compensation Commission

Profile: Harrison Health Clinic | Janice Smith

SIP Home > Initial Application for Self-Insurance

Initial Application for Self-Insurance

[Create Application](#)

Applicant Legal Name	Desired Self-Insurance Effective Date	Analyst	Application Fee Received	Application Submitted Date ↑	Application Status
Harrison Health Clinic	5/1/2022	Wendy Keithley		4/12/2022	Approved - Certificate to Employer

Figure 3.3

On the next screen, the user clicks the *Create Application* button, which generates an initial application for Self-Insurance to submit to the IWCC for approval. Once the information has been saved in the application, the status of the application can be viewed (see figure 3.3). All fields with a * must be filled out before moving to the next screen/page. The percentage bar lets the user know the completion level as the screens/pages progress. The first field is *Applicant Legal Name**. The *Applicant Legal Name* is the full legal name of the employer applying to be self-insured within the state of Illinois. The user enters address information and the date requesting self-insurance and clicks *Save & Next* (figure 3.4). Clicking *Save & Next* saves your progress up to that point if you need to stop entering information. ***Exit does not save the work completed on your application.***

If at any time during this process, you need to step away from your machine and would like to come back later, press *Save & Next* at the bottom right of a screen. This will ensure all your work up to that point is saved, and you can come back later to complete the process. Pressing *Exit* from the following screen will take you out of the process.

Illinois Workers' Compensation Commission

Profile: Harrison Health Clinic | Janice Smith

SIP Home > Initial Application f... > New Application

New Application

0%

Applicant Information

Applicant Legal Name *

Street Address 1 * **Street Address 2**

City * **State *** **Zip ***

Desired Self-Insurance Effective Date *

M/D/YYYY

Exit Save & Next

Figure 3.4

The following page asks the user to provide primary, secondary, and assessment contact information. All three are mandatory fields and must be filled out to move to the next page of the application.

SIP Home > Initial Application f... > New Application

New Application

9%

Company Representatives for Self-Insurance

Primary Contact

Primary Contact

Launch lookup modal

First Name * **Middle Initial** **Last Name *** **Title ***

Company Name *

Figure 3.5

If the Company Admin has added one or more company contacts to the profile, the user is able to click the magnifying glass as shown in figure 3.5 and select a contact from the list for the three representative roles. The user can also type in the name or put a check mark next to the name and click the *Select* button (figure 3.6). The contact information for the selected user auto-populates the name, address, and phone into that section of the application. If a person is

chosen for a specific contact type by accident, put a check mark next to their name and click the *Remove Value* button. Repeat the above steps to add in the correct contact.

Lookup records

Search

<input checked="" type="checkbox"/> Full Name ↑	Email	Phone	Customer
<input type="checkbox"/> Alan Session Two	siplustesting+alantraining2@gmail.com	(111) 111-1111	
<input type="checkbox"/> Carlos Hernandez	mcdfad1+Carlos@gmail.com	(217) 206-5175	
<input type="checkbox"/> Dominique Francon	siplustesting+DFrancon@gmail.com	(608) 347-6274	
<input type="checkbox"/> Harrison Health Admin	siplustesting+harrisonadmin@gmail.com	(222) 333-4444	
<input checked="" type="checkbox"/> Janice Smith	mcdfad1+harrisonhealthclinic@gmail.com	(217) 206-4216	Harrison Health Clinic
<input type="checkbox"/> Johnny Smith	mcdfad1+johnny@gmail.com	(217) 206-1255	

Figure 3.6

When the selected contact is chosen through the search function, the information about the contact auto-fills and you do not have to fill out the information for each contact a second time (figure 3.7). If the company contacts contain all the information about your company and those who are working within the portal, it makes this page easy to fill out.

Primary Contact

Primary Contact

Janice Smith

First Name * Middle Initial Last Name * Title *

Company Name *

Street Address 1 * Street Address 2

City * State * Zip *

Phone * Phone Extension Email *

Figure 3.7

The next page continues with questions regarding the applicant's Federal Employer ID Number (FEIN) and Company Type. As shown in figure 3.8, *Company Type* is a drop-down list: Select *Partnership, Limited Liability Company (LLC), Limited Liability Partnership (LLP), Corporation, S Corporation, or Nonprofit Corporation*. Only one may be selected.

Figure 3.8

Fill in the field for the *Nature of Business* and click the *Add NAICS Code* to open a new window (figure 3.9).

Figure 3.9

Clicking the magnifying glass opens a search window (figure 4.0).

Figure 4.0

Type the code or a business description into the search bar and click the magnifying glass. Choose the correct NAICS Code/Description from the list and click *Select*. Click *Save & Close*. Repeat for each NAICS code.

The use of a wildcard character is allowed/recommended in this search. You can type *pharmacy** in the search bar to return all NAICS codes/descriptions that begin with the word *pharmacy* (figure 4.1). If there are multiple results, choose the most appropriate NAICS Code description and click the *Select* button.

Lookup records

pharmacy*

NAICS Code NAICS Description

524292	Pharmacy Benefit Management and Other Third Party Administration of Insurance and Pension Funds
--------	---

Select Cancel Remove value

Figure 4.1

Note: If an incorrect code/description was saved, it can be updated or removed by using the down arrow next to the code/description (figure 4.2). Go through the steps to *Add NAICS Code* to add the correct NAICS code.

Select the Primary NAICS codes for the Applicant & Subsidiary Applicants *

Add NAICS Code

NAICS Code	NAICS Description
524292	Pharmacy Benefit Management and Other Third Party Administration of Insurance and Pension Funds

Update Remove

Figure 4.2

The remainder of this page asks the user questions relating to state of incorporation, incorporation date, and when the employer began doing business in Illinois. For the date fields, you can use the calendar function that allows you to have a calendar view and select the appropriate date or type the date into the box (MM/DD/YYYY – see figure 4.3). If the employer is a subsidiary, be prepared to also provide the ultimate parent’s legal name, FEIN, and incorporation information. Click *Save & Next*.

Incorporated or Organized Under the Laws of the State of *
 Illinois

Date Incorporated or Organized *
 1/1/2000

Date of Commencement of Business in Illinois *
 1/1/2000

January 2000

Su	Mo	Tu	We	Th	Fr	Sa
26	27	28	29	30	31	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5

Ultimate Parent Type

Date Ultimate Parent Incorporated or Organized
 M/D/YYYY

Figure 4.3

For the next section, the applicant provides the corporate principal details by clicking the *Add Corporate Principal* button. A new window opens, and details of the corporate principal are entered. Click *Save & Close* to save the information. As shown in the screenshot (figure 4.4) the corporate principal information has been added to the screen. At least one corporate principal must be added. Click *Save & Next* to continue.

Illinois Workers' Compensation Commission

Profile: Harrison Health Clinic | Janice Smith

SIP Home > Initial Application f... > New Application

New Application

27%

List the Corporate Principals for the Ultimate Parent or Applicant if no Parent.

Provide at least one Principal.

Add Corporate Principal

First Name	Middle Initial	Last Name ↑	Title	Street Address 1	Street Address 2	City	State	Zip	Phone
Janice		Smith	Corporate Principal and Primary Contact	675 South Main Street		Springfield	Ill	60629	(217) 206-4216

Previous Exit Save & Next

Figure 4.4

Next you will list any Subsidiaries or Affiliates seeking approval for self-insurance. Click *Add Subsidiaries/Affiliates* and you will see a new window to add in requested information. When complete, click *Save & Close* (figure 4.5).

Subsidiary and Affiliate

Legal Name * Harrison Little Clinic

FEIN * 61-9971616

Street Address 1 * 555 Medical Way

Street Address 2

City * Springfield

State * Ill

Zip * 60629

Date Incorporated or Organized * 1/1/2010

Nature of Business * Clinic

Subsidiary Or Affiliate * Subsidiary

Save & Close

Figure 4.5

If you have added a subsidiary or affiliate incorrectly, you can update it with the correct information or remove it altogether by clicking the down arrow next to the company and making the correct selection (see figure 4.6). Click *Save & Next* when ready to continue.

New Application

36%

List the Subsidiaries or Affiliates to be included in the Self-Insurance Program

Add Subsidiaries / Affiliates

Legal Name	FEIN	Date Incorporated or Organized	Street Address 1	Street Address 2	City	State	Zip	Nature of Business	Subsidiary Or Affiliate
Harrison Little Clinic	61-9971616	1/1/2010	555 Medical Way		Springfield	Ill	60629	Clinic	Subsidiary

Update Remove

Previous Exit Save & Next

Figure 4.6

On the next page of the application, add the physical locations of each associated self-insured company. Click the *Add Physical Location* button (figure 4.7), which opens up a new window for entering location information.

New Application

45%

List the Physical Locations of each self-insured Operation.

Add at least one location. If more than 15 locations, provide a worksheet listing all locations. The worksheet should follow the format below and be submitted at the end of the application process.

Add Physical Location

Operation Name	Street Address 1	Street Address 2	City	State	Zip	FEIN
No Physical Locations found						

Previous Exit Save & Next

Figure 4.7

Enter information for each Illinois physical location to be included in the self-insurance program (figure 4.8). Click *Save & Close*. *Perform this process for each location. At least one location is required.* After all locations have been entered, click *Save & Next*.

NOTE: If there are more than 15 locations, create a worksheet with all of the information contained on the *Add Physical Location* screen. This worksheet will be uploaded in a later step, prior to submission of the application (Name, Street Address, City, State, Zip, FEIN, Nature of Business and Avg. # Employees). If the button to add a location is clicked in error, click the x in the top right corner to close the pop up window.

Figure 4.8

Clicking *Save & Close* will not allow you to move forward as the system expects data to be added to the fields before continuing.

Once you have added the location(s), the details display on the page as shown in figure 4.9. If an error has been made when entering the location(s), click the down arrow to update or remove the record. Click *Save & Next* to proceed.

Figure 4.9

The next screen requires workers' compensation policy information. Be prepared to provide the current policy number and effective date, as well as specific premium information and class codes (see figure 5.0 that follows).

Note: Mandatory fields must be entered or an error message displays. The application process cannot continue until all required information has been provided.

Illinois Workers' Compensation Commission

Profile: Harrison Health Clinic | Janice Smith

SIP Home > Initial Application f... > New Application

New Application

54%

Previous Exit Save & Next

Provide applicant's current workers' compensation insurance policy information

Carrier Name *
Liberty Mutual

Policy Number *
WC1234567

Effective From Date *
8/1/2021

Effective To Date *
8/1/2022

List the estimated annual workers' compensation premium for the last completed year for the Applicant & Subsidiary Applicants

Add Compensation Premium

Insurance Class Code ↑	Insurance Classification Description	Number of Employees	Estimated Annual Payroll	Current Manual Rate	Estimated Annual Premium
------------------------	--------------------------------------	---------------------	--------------------------	---------------------	--------------------------

Figure 5.0

To add compensation premium, click the *Add Compensation Premium* button and a new window appears (figure 5.1). All fields are required before clicking *Save & Close*.

Compensation Premium

Insurance Class Code *

Insurance Classification Description *

Number of Employees *

Estimated Annual Payroll *

Current Manual Rate *

Estimated Annual Premium *

Save & Close

Figure 5.1

The next section on the screen involves claim history and requires the year end dates for the most recent three (3) completed policy years. Use the calendar function or manually enter the dates (MM/DD/YYYY) (figure 5.2). When fields are completed, click *Save & Next*. If you need to go back to the previous page, click *Previous*. Note: your progress on the current page will be lost if you go back to the previous page.

The claim history for the Illinois operations to be self-insured will be requested on the next page. Provide the year end dates for the last three completed policy years below.

Policy Year Ended 1 *

3/1/2021

March 2021

Su	Mo	Tu	We	Th	Fr	Sa
28	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27

Policy Year Ended 2 *

3/1/2020

Policy Year Ended 3 *

3/1/2019

Previous

Exit

Save & Next

[Terms & Conditions](#) | [IWCC](#)

Figure 5.2

The next page of the application is related to *Claims Information*. All questions must be answered in order to proceed. Click the down arrow to the right of each question to *Add* responses (circled below in figure 5.3).

New Application

63%

Claims Information

Provide the following claims information for your proposed self-insured operations in Illinois for the last three completed years.

Question ↑	Policy Year Ended 1	Policy Year Ended 2	Policy Year Ended 3
A. Number of accidents requiring only medical attention			<div> <div> Add </div> </div>
B. Number of accidents requiring lost time of more than 3 days			<div> <div> </div> </div>
C. Total dollars paid for claims			<div> <div> </div> </div>
D. Outstanding reserves (incl. medical, indemnity, & expenses). If the reserves vary by more than 20% from one year to the next, provide an explanation below.			<div> <div> </div> </div>
E. Number of Fatalities (If any fatalities, an explanation will be required. Explanation to include: employee name; injury date; cause of injury; current claim status; OSHA investigation and/or citation, if any.)			<div> <div> </div> </div>

Do the reserves in question D vary by more than 20% from one year to the next?

☒ No
☐ Yes

Previous

Exit

Save & Next

Figure 5.3

After the down arrow is clicked and *Add* is selected, a new window opens to enter claim information for each *Policy Year Ended*. For example, the *Number of accidents requiring only medical attention* question has fields available for all three policy years (figure 5.4). These are manual data entry fields, so simply click in the box and respond to each line item. A value of 0 is a valid answer. When finished, click *Save & Close*.

Claims Information

Question *
A. Number of accidents requiring only medical attention

Policy Year Ended 1	Total
5/1/2020	<input type="text"/>
Policy Year Ended 2	Total
5/1/2021	<input type="text"/>
Policy Year Ended 3	Total
5/1/2022	<input type="text"/>

Save & Close

Figure 5.4

After each question is answered, the user must indicate if the reserves in question D vary by more than 20% from one year to the next. If Yes, a box will appear to provide an explanation for the variance. Click *Save & Next* to proceed.

The *Service Agency or Company Claim Administrator* screen requires the user to provide information regarding the responsible party for the administration of claims for the proposed self-insured company. Click the *Add Claims Administration Contact* button and provide the required information (figure 5.5). Click *Save & Close*.

Edit Application

72%

Service Agency or Company Claim Administrator

Provide contact information for proposed Claims Service Agency administering the self-insurance claims OR Company Representative responsible for claims

Add Claims Administration Contact

Company Name	First Name	Middle Initial	Last Name	Title	Street Address 1	Street Address 2	City	State	Zip	Phone	Email
There are no records to display.											

Other Associated Contact

Type *
 Claims Service Agency
 Claims Self-Administrator

Active *
☐ No ☒ Yes

First Name *

Middle Initial

Last Name *

Title *

Street Address 1 *

Street Address 2

City *

State *

Zip *

Phone *

Phone Extension

Email *

Describe the Experience and Qualifications of this Person

Figure 5.5

Once the information has been added to the screen, verify its accuracy. If something has been incorrectly added, click on the down arrow on the right side of the screen. There is an option to either *Update* or *Remove* the line item (figure 5.6). If remove is selected, a message appears

asking you to confirm removal of the information. If confirmed, click the *Delete* button and the information is removed from the system. If the information is correct, click *Save & Next*.

New Application

72%

Service Agency or Company Claim Administrator

Provide contact information for proposed Claims Service Agency administering the self-insurance claims [QB](#) Company Representative responsible for claims administration

[Add Claims Administration Contact](#)

Company Name	First Name	Middle Initial	Last Name	Title	Street Address 1	Street Address 2	City	State	Zip	Phone	Email	Type	Active
Harrison Little Clinic	Paulette	Green	Claims Administrator	555 Medical Way		Springfield	Ill	60629	(627) 444-8857	siplustesting+HLC@gmail.com	Claims Self-Administrator	Yes	<input checked="" type="checkbox"/> Update <input type="checkbox"/> Remove

[Previous](#) [Exit](#) [Save & Next](#)

Figure 5.6

Safety representative information is required on the next SIP screen (figure 5.7). The user will enter the name and contact information for the safety representative, identify all medical facilities that are available, and add any employee occupational disease exposures if applicable. *Add exposure to Substance* works like the other *Add* features in the portal: Click the button, a new window appears, enter the mandatory fields, and click *Save & Close*. If no exposures have occurred, click *Save & Next* and proceed to the next page.

Safety Representative

First Name * **Middle Initial** **Last Name *** **Title**

Company Name *

Street Address 1 * **Street Address 2**

City * **State *** **Zip ***

Phone * **Phone Extension** **Email ***

Medical Facilities available (check all that apply)

☒ First Aid
 ☐ In-Plant Doctor/Nurse
 ☒ Local Clinic
 ☐ Hospital
 ☐ Other

If any of the applicant's employees have exposure in any degree to substances that may cause occupational disease, list each substance and approximate percentage of employees exposed. Include asbestos, silica dust, any toxic, injurious, or hazardous substances, compounds, or chemicals, caustics, fumes, noise, radiation, communicable diseases, and any other occupational disease exposures.

[Add exposure to Substance](#)

Figure 5.7

The next screen contains three questions, with simple Yes/No answers (figure 5.8). Make the appropriate selection. Each of the questions have answers defaulted to “No”. If any of the questions are Yes, an explanation will be required in a box that appears directly below the question. Click *Save & Next* when complete.

The screenshot shows a web application interface with a progress bar at the top indicating 90% completion. The first question is: "Has an application for workers' compensation insurance ever been refused or a policy cancelled? (If yes, an explanation of the circumstances will be required including date, jurisdiction, and carrier)". Below this question, there are two radio buttons: "No" and "Yes". The "Yes" button is selected and highlighted with a red rectangle. Below the radio buttons is a text area labeled "Explanation including date, jurisdiction, and carrier *". The second question is: "Has an application for self-insurance ever been denied or a certification revoked? (If yes, an explanation of the circumstances will be required including the date and jurisdiction)". Below this question, there are two radio buttons: "No" and "Yes". The "No" button is selected. The third question is: "Is the applicant self-insured in any other jurisdiction? (If yes, a list of jurisdictions will be required.)". Below this question, there are two radio buttons: "No" and "Yes". The "No" button is selected. At the bottom right of the form, there are three buttons: "Previous", "Exit", and "Save & Next".

Figure 5.8

On the last page of the application, the user will attach and upload the required documents into the portal prior to submitting the application to the IWCC.

Prior to final submission of the application, the user must download and print the application affidavit for the officer signatures and notarization. Click *Download to Print Affidavit and Application* button (figure 5.9). Once signed/notarized, upload along with other required documents. Click the *Attach Documents* button.

100%

Application Documents

1. A signed affidavit is required. Select "Download to print Affidavit & Application" below to print and save.
2. Select "Attach Documents". Choose one Document Type from the drop down list, add your file and upload. Repeat for each required Document Type.
3. Once all the required documents are uploaded, click "Submit to IWCC" button. An error message will appear listing any missing documents.
4. Once the application is submitted, you will receive an email notification acknowledging its receipt.

Use consistent and descriptive file names that associate the document with this Application. Do not use the file names that contain the following special characters: / * ? < > |. Max file size is 10 megabytes.

Attach Documents

Document Type	Submitted By	Created On ↓
There are no records to display.		

Previous Exit Download to Print Affidavit & Application Submit to IWCC

Figure 5.9

Once clicked, a new window appears (figure 6.0). Click the down arrow to bring up a list of document types. Note: do this for every required document type: Select the appropriate document types. Click *Save & Next*.

Document Set

Document Set Details

Document Type *

- Affidavit
- Detailed Loss Reports (3 years)
- Evidence of Current Coverage
- Experience Modification Factor-NCCI Worksheet
- Financial Statements-Parent (3 years)
- Explanation if Insurance Coverage Refused or Canceled
- Explanation if Self-Insurance Privilege Denied or Revoked
- Fatality Description
- Self-Insured States
- Excess Insurance Quotes
- Organizational chart
- Physical Locations
- Quarterly Financial Statement
- Safety Program Description
- Other
- Petition for Reconsideration

Figure 6.0

A second window opens for uploading the selected document. Click *Add files* then *Choose Files*. Locate the file(s) on your local machine, click *Add files*, and then click *Upload* (figure 6.1).

For uploading more than file per document type, see section [Uploading Multiple Files within a Document Type](#) on page 62.

SharePoint Documents

Add Files

Name ↑	Modified
Detailed Loss Runs.docx (20 KB)	1/28/2022 9:46 AM

Upload

Figure 6.1

If the user fails to upload all the required documents before clicking ‘Submit to IWCC,’ an error message is returned (figure 6.2). Only when all document types have been uploaded to the application is the user able to submit the self-insurance application.

The screenshot shows the 'Edit Application' page. At the top, there is a blue progress bar indicating 100% completion. Below the progress bar, a red error message states: 'Cannot submit due to following missing documents: Evidence of current coverage, Experience Modification Factor, Financial Statements (3 years), Signed Application & Affidavit'. The page is titled 'Application Documents' and contains four numbered instructions: 1. A signed affidavit is required. Select 'Download to print Affidavit & Application' below to print and save. 2. Select 'Attach Documents'. Choose one Document Type from the drop down list, add your file and upload. Repeat for each required Document Type. 3. Once all the required documents are uploaded, click 'Submit to IWCC' button. An error message will appear listing any missing documents. 4. Once the application is submitted, you will receive an email notification acknowledging its receipt. Below the instructions, there is a note: 'Use consistent and descriptive file names that associate the document with this Application. Do not use the file names that contain the following special characters: /:*?<>|. Max file size is 10 megabytes.' There is a blue button labeled 'Attach Documents'. Below this, there is a table with three columns: 'Document Type', 'Submitted By', and 'Created On'. The table has one row with the following data: 'Detailed Loss Runs (3 years)', 'Gracie Smith', and '1/28/2022 9:43 AM'. At the bottom of the page, there are four buttons: 'Previous', 'Exit', 'Download to Print Affidavit & Application', and 'Submit to IWCC'.

Document Type	Submitted By	Created On
Detailed Loss Runs (3 years)	Gracie Smith	1/28/2022 9:43 AM

Figure 6.2

The required documents for an initial application for self-insurance include: *Signed & Notarized Affidavit, Evidence of Current Coverage, Experience Modification Factor – NCCI Worksheet, Financial Statements (3 years), and Detailed Loss Runs (3 years).* If more than 15 locations need to be added to the application, upload the additional locations during this step. Descriptions of all fatalities must be included, if applicable.

When all documents have been attached and downloaded, select *Submit to IWCC*. Once submitted, a success message displays (see figure 6.3).

The screenshot shows the 'New Application' page. At the top, there is a breadcrumb trail: 'SIP Home > Initial Application f... > New Application'. The page is titled 'New Application'. Below the title, there is a green success message: 'Submission completed successfully.'

Figure 6.3

After submitting the initial application to the IWCC, an acknowledgment email is sent to the primary and secondary contact (figure 6.4).

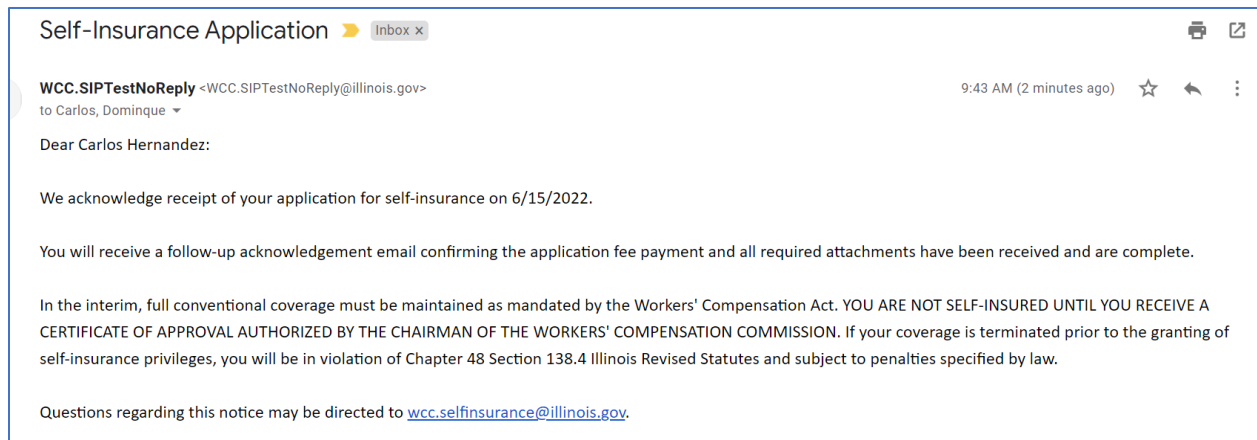


Figure 6.4

IMPORTANT: The renewal will not be processed until the renewal fee has been paid.
It currently cannot be paid through the Self-Insurance Plus Portal.

Please remit fee to:
Illinois Workers' Compensation Commission
Office of Self-Insurance
Springfield Regional Office Building
4500 South 6th St. Frontage Road
Springfield, IL 62703

Filing a Subsidiary Application for Self-Insurance in SIP

A subsidiary application is filed when an approved self-insurance employer seeks to add subsidiaries or affiliates to its self-insurance program. Note: prior to entering an application, view the *Required Information and Documents* instructions on page 60 or on the IWCC homepage. Click the *Help* link on the bottom of the SIP portal page to go to the IWCC's Self-Insurance information page.

User navigates to the SIP portal and logs into their Self-Insurance account by clicking *Sign In*. Click *Subsidiary/Affiliate Application for Self-Insurance* button, as shown in figure 6.5.

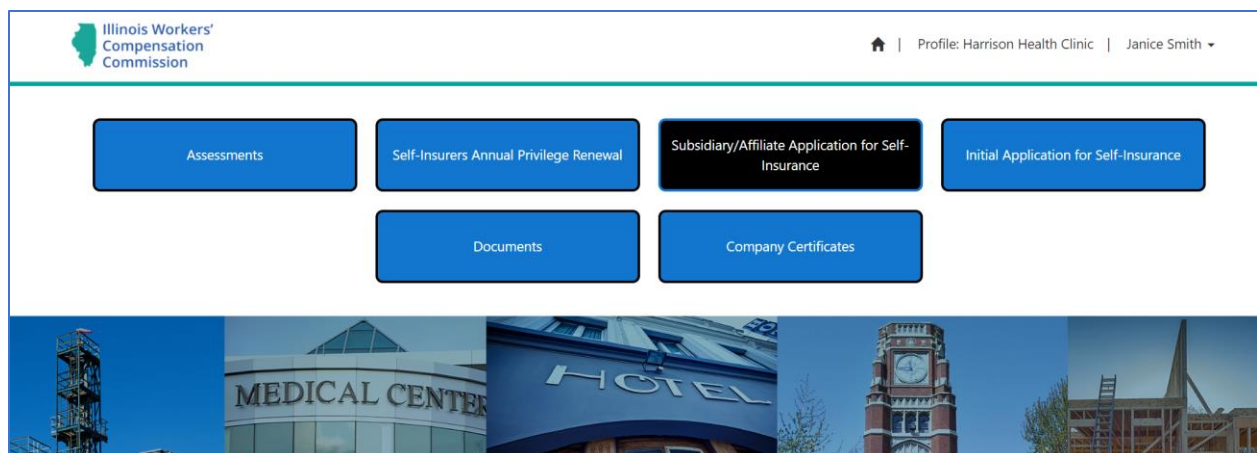


Figure 6.5

On the next screen, the user clicks the *Create New* button (figure 6.6) which generates a subsidiary/affiliate application to submit to the IWCC for approval. Once the information has been saved in the application, the status of the application can be viewed in the portal.

The screenshot shows the top navigation bar with the Illinois Workers' Compensation Commission logo and user profile information (Harrison Health Clinic, Janice Smith). The breadcrumb trail indicates the user is in the 'Subsidiary/Affiliate Application for Self-Insurance' section. The main heading is 'Subsidiary/Affiliate Application for Self-Insurance'. Below this, a red box highlights a 'Create New' button. At the bottom, there is a table with columns for 'Applicant Legal Name', 'Desired Self-Insurance Effective Date', 'Application Fee Received', 'Affidavit Received', 'Application Submitted Date', 'Application Status', and 'Analyst'.

Figure 6.6

All fields with a red * must be filled out before moving to the next screen/page. The percentage bar lets the user know the completion level as the screens/pages progress. The first field is *Applicant Legal Name**. The *Applicant Legal Name* is the full legal name of the employer applying to be self-insured within the state of Illinois. The user enters address information and the date requesting self-insurance, and specifies if it is a subsidiary or affiliate, and clicks *Save & Next* (figure 6.7).

If at any time during this process, you need to step away from your machine and would like to come back later, press *Save & Next* at the bottom right of the screen. This will ensure all of your work up to that point is saved, and you can come back at a later time to complete the process. Pressing *Exit* from the following screen will take you out of the process.

The screenshot shows the 'Applicant Information' form. At the top, a progress bar indicates 0% completion. The form fields are: 'Applicant Legal Name *' (filled with 'Harrison Specialty Clinic'), 'Street Address 1 *' (filled with '765 South Broadway'), 'Street Address 2' (empty), 'City *' (filled with 'Springfield'), 'State *' (filled with 'Ill'), 'Zip *' (filled with '60629'), 'Desired Self-Insurance Effective Date *' (filled with '7/1/2022'), and 'Subsidiary or Affiliate *' (dropdown menu showing 'Subsidiary'). At the bottom right, there are two buttons: 'Exit' and 'Save & Next'.

Figure 6.7

The following page (figure 6.8) presents the primary contact information. These fields auto-populate from the Parent Company profile. Click *Save & Next*.

14%

Company Representative for Self-Insurance

Primary Contact

Janice Smith

First Name * Janice Middle Initial Last Name * Smith

Title CEO

Company Name * Harrison Health Clinic

Street Address 1 * 675 South Main Street Street Address 2

City * Springfield State * Ill Zip * 62629

Phone * (217) 206-4216 Phone Extension Email * mcdfad1+harrisonhealthclinic@gmail.com

Previous Exit Save & Next

Figure 6.8

The next page continues with questions regarding the applicant's Federal Employer ID Number (FEIN) and Company Type. As shown in figure 6.9, *Company Type* is a drop-down list: Select *Individual*, *Partnership*, *Limited Liability Company (LLC)*, *Limited Liability Partnership (LLP)*, *Corporation*, *S Corporation*, or *Nonprofit Corporation*. Only one may be selected.

Company Type *

Partnership

Individual

Partnership

Limited Liability Company (LLC)

Limited Liability Partnership (LLP)

Corporation

S Corporation

Nonprofit Corporation

Figure 6.9

Fill in the field for the *Nature of Business* and click the *Add NAICS Code* to open a new window (figure 7.0).

28%

Previous Exit Save & Next

Applicant FEIN *
61-9346211

Company Type *
Corporation

List the Nature of Business for the Subsidiary Applicant *
Physician Offices - specialty

Select the Primary NAICS codes for the Subsidiary Applicant *

Add NAICS Code

NAICS Code NAICS Description

Use the previous button on any screen to go back a screen. Information can be updated any time prior to submitting the application.

Figure 7.0

Clicking the magnifying glass opens a search window (figure 7.1).

NAICS Code

NAICS *

modal

Q

Figure 7.1

Type the code or business description into the search bar and click the magnifying glass. Choose the correct NAICS Code/Description from the list and click *Select*. Click *Save & Close*. Repeat for each NAICS code.

The use of a wildcard character is allowed/recommended in this search. You can type **physician** in the search bar to return all NAICS codes/descriptions that contain the word *physician*. See results in figure 7.2. If there are multiple results, choose the most appropriate NAICS Code description and click the *Select* button.

Lookup records

physician Q

NAICS Code	NAICS Description
<input checked="" type="checkbox"/> 6211	Offices of Physicians
<input type="checkbox"/> 62111	Offices of Physicians
<input type="checkbox"/> 621111	Offices of Physicians (except Mental Health Specialists)
<input type="checkbox"/> 621112	Offices of Physicians, Mental Health Specialists
<input type="checkbox"/> 62133	Offices of Mental Health Practitioners (except Physicians)
<input type="checkbox"/> 621330	Offices of Mental Health Practitioners (except Physicians)

Select Cancel Remove value

Figure 7.2

Note: If an incorrect code/description was saved, it can be updated or removed by using the down arrow next to the code/description (figure 7.3). Go through the steps to *Add NAICS Code* to add the correct NAICS code.

Select the Primary NAICS codes for the Subsidiary Applicant

[Add NAICS Code](#)

NAICS Code	NAICS Description
311811	Retail Bakeries

Incorporated or Organized Under the Laws of the State of *

Date Incorporated or Organized *

Update
Remove

Figure 7.3

The remainder of this page asks user questions relating to state of incorporation, incorporation date, and when the employer began doing business in Illinois. For the date fields, you can use the calendar function that allows you to have a calendar view and select the appropriate date or type the date into the box (MM/DD/YYYY). Click *Save & Next*.

On the next page of the subsidiary application, add the physical locations of each applicant. Click the *Add Physical Location* button (figure 7.4) which opens up a new window for entering location information.

Create Subsidiary Application

42%

List the Physical Locations of each self-insured Operation.
Add at least one location. If more than 15 locations, provide a worksheet listing all locations. The worksheet should follow the format below and be submitted at the end of the sub application process.

[Add Physical Location](#)

Operation Name ↑	Street Address 1	Street Address 2	City	State	Zip	FEIN	Nature of Business	Avg # Employees
------------------	------------------	------------------	------	-------	-----	------	--------------------	-----------------

Figure 7.4

Enter information for each Illinois physical location to be included in the self-insurance program. Click *Save & Close*. Perform this process for each location. At least one location is required. After all locations have been entered, click *Save & Next*.

NOTE: If there are more than 15 locations, create a worksheet with all of the information contained on the *Add Physical Location* screen (Name, Street Address, City, State, Zip, FEIN, Nature of Business and Avg. # Employees). This worksheet will be uploaded in a later step, prior to

Physical Location

Name *

FEIN *

Street Address 1 *

Nature of Business *

Street Address 2

Avg # Employees *

City *

State *

Zip *

Save & Close

Figure 7.5

submission of the subsidiary application. If the button to add a location is clicked in error, click the x in the top right corner to close the pop up window. The next screen is about the current workers' compensation policy for the applying subsidiary. If there is a current policy in place, be prepared to provide the current policy number and effective dates, as well as specific premium information and class codes (see figure 7.7).

Insurance Carrier Information

Provide Applicant's Current Workers' Compensation Insurance Policy Information

Carrier Name: Liberty Mutual

Policy Number: WC812555XZ112

Effective From Date: 1/1/2022

Effective To Date: 12/31/2022

List the estimated annual workers' compensation premium for the last completed year for the Applicant

Add Compensation Premium

Insurance Class Code ↑	Insurance Classification Description	Number of Employees	Estimated Annual Payroll	Current Manual Rate	Estimated Annual Premium
------------------------	--------------------------------------	---------------------	--------------------------	---------------------	--------------------------

Figure 7.6

To add compensation premium, click the *Add Compensation Premium* button and a new window appears. All fields are required before clicking *Save & Close* (see figure 7.6, 7.7).

Compensation Premium

Insurance Class Code *: 2033

Insurance Classification Description *: Physician Offices

Number of Employees *: 175

Estimated Annual Payroll *: 10224667

Current Manual Rate *: 1.2

Estimated Annual Premium *: 400000

Save & Close

Figure 7.7

The next section on the screen involves claims history and requires the year end dates for the most recent three (3) completed policy years. Use the calendar function or manually enter in the dates (M/D/YYYY) (figure 7.8). When fields are completed, click *Save & Next*. If you need to go back to the previous page, click *Previous*. Note: your progress on the current page will be lost if you go back to the previous page.

The claim history for the Illinois operations to be self-insured will be requested on the next page. Provide the year end dates for the last three completed policy years below.

Policy Year Ended 1 *	Policy Year Ended 2 *	Policy Year Ended 3 *
7/1/2019	7/1/2020	7/1/2021

July 2019

Su	Mo	Tu	We	Th	Fr	Sa
30	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31	1	2	3
4	5	6	7	8	9	10

Previous Exit Save & Next

Terms & Conditions | IWCC

Figure 7.8

The next section of the subsidiary application is related to *Claims Information*. All questions must be answered in order to proceed. Click the down arrow to the right of each question to *Add* responses (marked below in figure 7.9).

Claims Information

Provide the following claims information for your proposed self-insured operations in Illinois for the last three completed years.

Question ↑	Policy Year Ended 1	Policy Year Ended 2	Policy Year Ended 3
A. Number of accidents requiring only medical attention			<input type="checkbox"/> <div>Add</div>
B. Number of accidents requiring lost time of more than 3 days			
C. Total dollars paid for claims			<input type="text"/>
D. Outstanding reserves (incl. medical, indemnity, & expenses). If the reserves vary by more than 20% from one year to the next, provide an explanation below.			<input type="text"/>
E. Number of Fatalities (If any fatalities, an explanation will be required. Explanation to include: employee name; injury date; cause of injury; current claim status; OSHA investigation and/or citation, if any.)			<input type="text"/>

Do the reserves in question D vary by more than 20% from one year to the next?

☒ No ☐ Yes

Figure 7.9

After the down arrow is clicked and *Add* is selected, a new window opens to enter claim information for each *Policy Year Ended*. For example, the *Total dollars paid for claims* question has fields available for all three policy years (figure 8.0). These are manual data entry fields, so simply click in the box and respond to each line item. A value of 0 is a valid answer. When finished, click *Save & Close*.

Claims Information

Question *

C. Total dollars paid for claims

Policy Year Ended 1

7/1/2019

Dollars

\$ 12,756.15

Policy Year Ended 2

7/1/2020

Dollars

\$ 25,643.20

Policy Year Ended 3

7/1/2021

Dollars

\$ 22,091.22

Save & Close

Figure 8.0

After each question is answered, the user must indicate if the reserves in question D vary by more than 20% from one year to the next. If Yes, a box will appear to provide an explanation for the variance. Click *Save & Next* to proceed.

Safety representative information is required on the next SIP screen (see figure 8.1). The user will complete the name and contact information for the safety representative, identify all medical facilities that are available, and add any employee occupational disease exposures, if applicable. *Add exposure to Substance* works like the other *Add* features in the portal: Click the button, a new window appears, enter the mandatory fields, and click *Save & Close*. If no exposures have occurred, click *Save & Next* and proceed to the next page.

Safety Representative

First Name *

Middle Initial

Last Name *

Sydney

Smith

Title

Safety Representative

Company Name *

Harrison Specialty Clinic

Street Address 1 *

61758 South Main Street

Street Address 2

City *

Springfield

State *

Ill

Zip *

60629

Phone *

Phone Extension

Email *

(314) 777-0127

sinlustesting+SRSydneySmith@gmail.com

Medical Facilities Available (Check all that apply)

☒ First Aid
☒ In-Plant Doctor/Nurse
☒ Local Clinic
☐ Hospital

☐ Other

If any of the Applicant's Employees have Exposure in any degree to Substances that may cause Occupational Disease, list the Substance and approximate Percentage of Employees Exposed.

Add Exposure to Substance

Figure 8.1

On the last page of the subsidiary application (figure 8.2), the user will attach and upload the required documents into the portal prior to submitting the application to the IWCC. Prior to final submission of the application, the user must download and print the application affidavit for the officer signatures and notarization. Click *Download to Print Affidavit and Application* button. Once signed/notarized, upload along with the other required documents. Click the *Attach Documents* button.

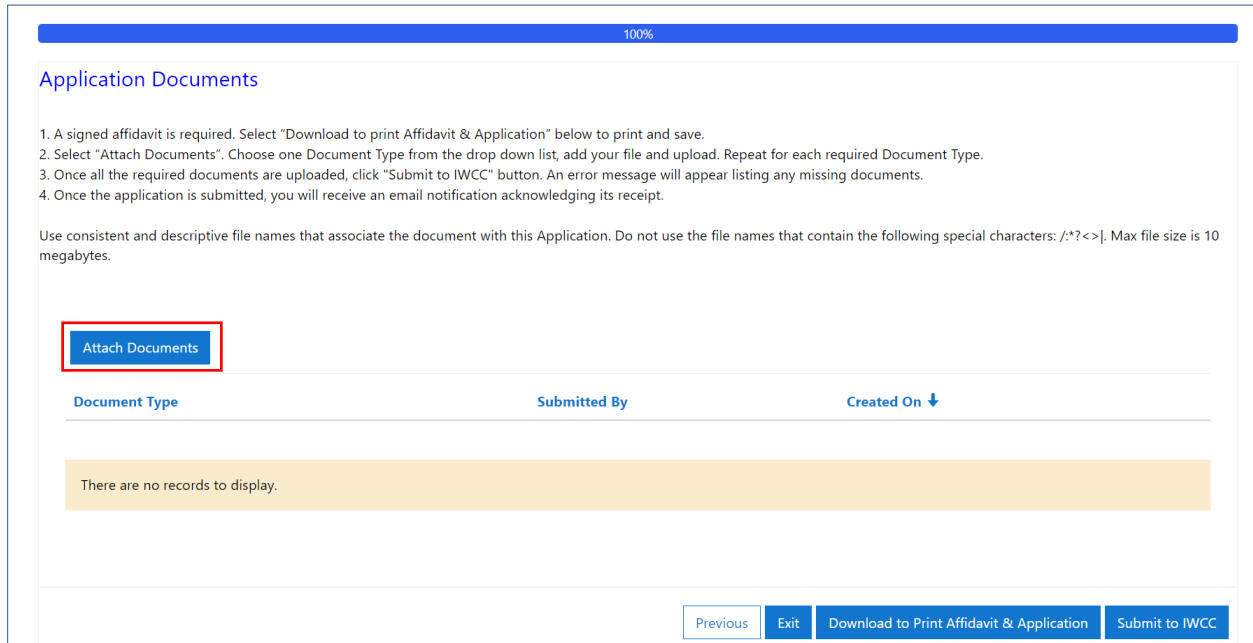


Figure 8.2

Once clicked, a new window appears. Click the down arrow to bring up a list of document types (figure 8.3). Note: do this for every required document type: Select the appropriate document types one by one. Click *Save & Next*.

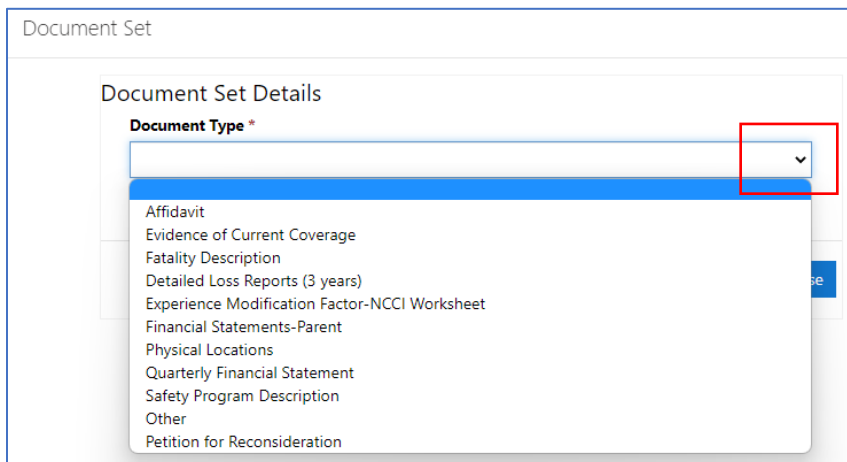


Figure 8.3

A secondary window opens for uploading the selected document, click *Add files*, then *Choose Files*. Locate the file(s) on your local machine and click *Add files*, then Upload (figure 8.4).

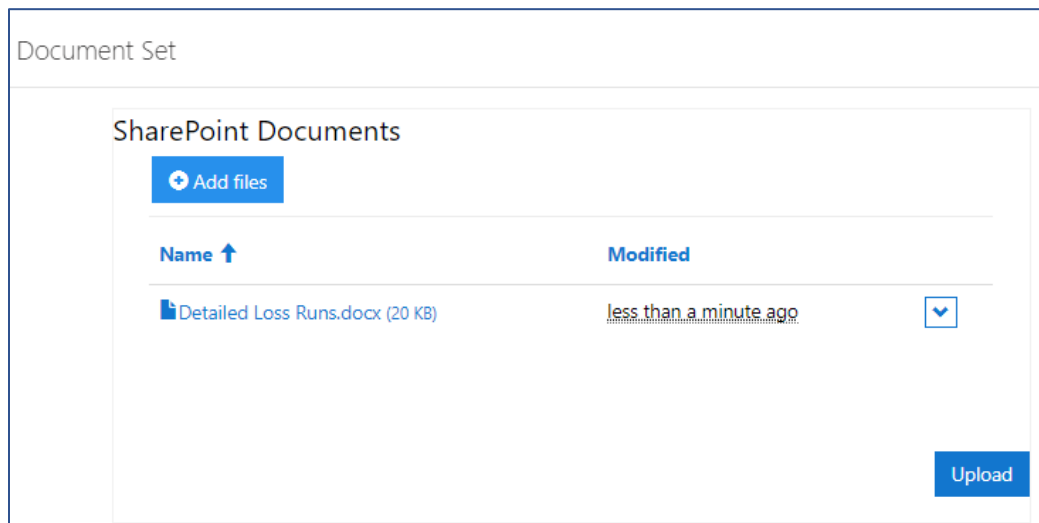


Figure 8.4

If the user fails to upload all the required documents before clicking *Submit to IWCC*, an error message is returned. (see figure 8.5).

For uploading more than one file per document type, see section *Uploading Multiple Files within a Document Type* on page 62.

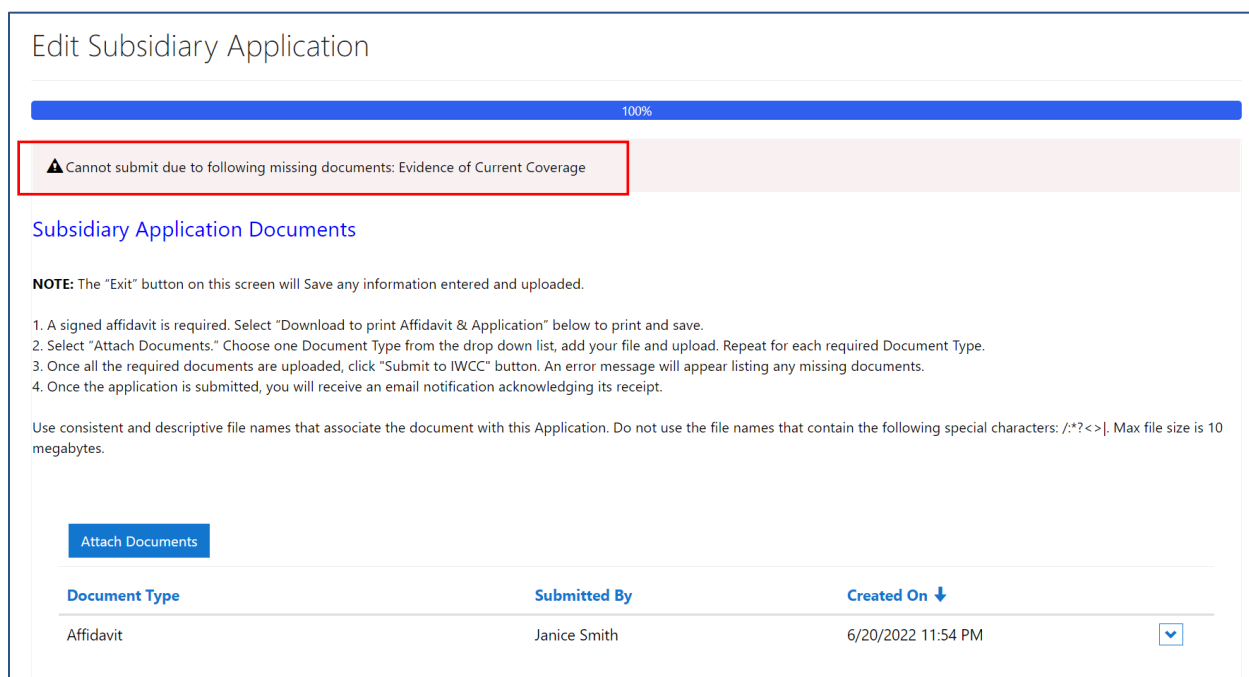


Figure 8.5

The required documents include: *Signed Affidavit, Evidence of Current Coverage, and Description of all Fatalities (if applicable).*

The screenshot shows a web interface for document management. At the top, there is a blue button labeled "Attach Documents". Below it is a table with three columns: "Document Type", "Submitted By", and "Created On". The table contains two rows of data. At the bottom right of the table area, there are four buttons: "Previous", "Exit", "Download to Print Affidavit & Application", and "Submit to IWCC". At the bottom left, there is a file attachment bar showing a document icon and the text "Subsidiary Applic...docx".

Document Type	Submitted By	Created On
Evidence of Current Coverage	Janice Smith	6/20/2022 11:57 PM
Affidavit	Janice Smith	6/20/2022 11:54 PM

Previous Exit Download to Print Affidavit & Application Submit to IWCC

Subsidiary Applic...docx

Figure 8.6

When all documents have been attached and downloaded, select Submit to IWCC (figure 8.6). Once submitted a success message displays.

After submitting the subsidiary application to the IWCC, an email is sent to the primary and secondary contact acknowledging receipt (figure 8.7).

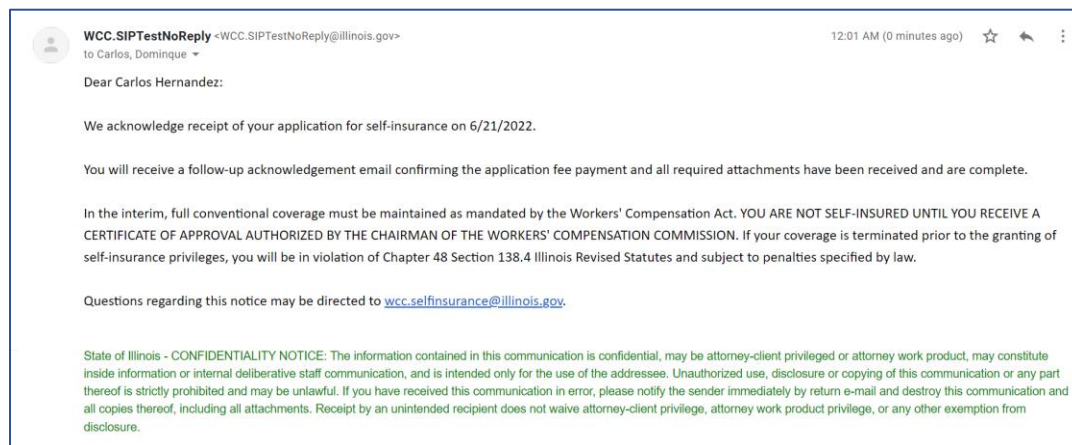


Figure 8.7

IMPORTANT: The application will not be processed until the application fee has been paid. It currently cannot be paid through the Self-Insurance Plus portal. Please remit fee to: Illinois Workers' Compensation Commission
Office of Self-Insurance
Springfield Regional Office Building
4500 South 6th Street, Frontage Road
Springfield, IL 62703

Filing a Renewal Application for Self-Insurance in SIP

Each private self-insurer must file an annual renewal application for its self-insurance privilege with the IWCC. The Self-Insurance Office will notify the companies when it is time to renew via an email to the primary contact and a copy to the secondary contact (figure 8.8).

Note: prior to completing a renewal application, view the *Required Information and Documents* instructions on page 61 or on the IWCC homepage. Click the *Help* link on the bottom of the SIP portal page to go to the IWCC's Self-Insurance information page.

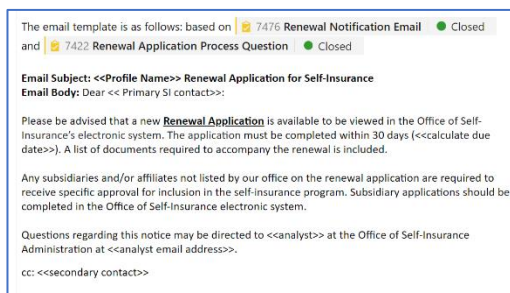


Figure 8.8

After logging into SIP with their username and password, the user clicks the Self-Insurers Annual Privilege Renewal button and is presented with the renewal application. The status of the renewal is *Renewal Sent*. Click the dropdown arrow next to the new renewal application and select *Edit* to start the application (figure 8.9).

If at any time during this process, you need to step away from your machine and would like to come back later, press *Save & Next* at the bottom right of the screen. This will ensure all your work up to that point is saved, and you can come back later to complete the process. *Exit* from the following screen will take you out of the process.

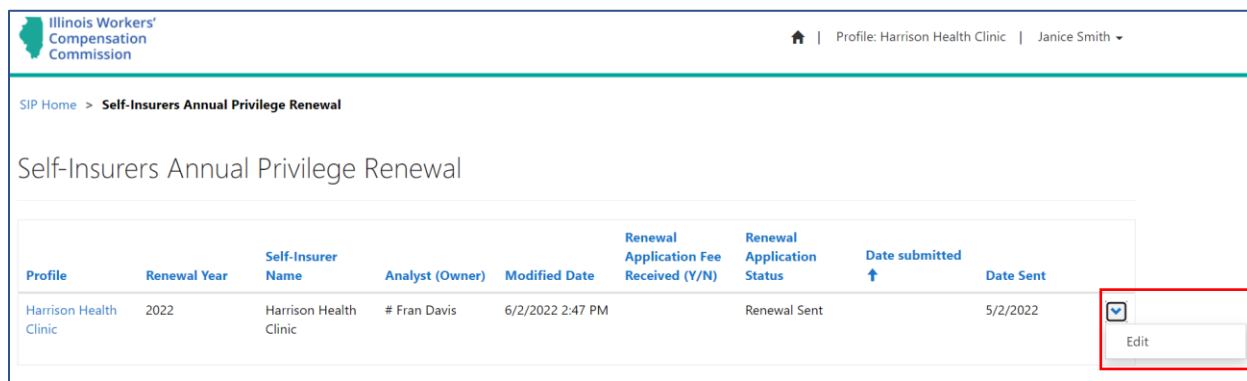


Figure 8.9

Some of the fields within the renewal application will be pre-populated based on previous data provided to the Self-Insurance office. The user should answer all the renewal questions and validate the information that is presented on the screen for accuracy. If any information presented on the screen cannot be edited and saved, contact the analyst.

All fields on the renewal application marked with a red * are required fields and must be filled out to submit the renewal application to the IWCC

The first screen of the renewal will be pre-populated (figure 9.0).



Name and Address of Primary Self-Insurer

Self-Insurer Name *
Harrison Health Clinic

FEIN *
72-1541546

Street Address 1 *
675 South Main Street

Street Address 2

City *
Springfield

State *
Ill

Zip *
62629

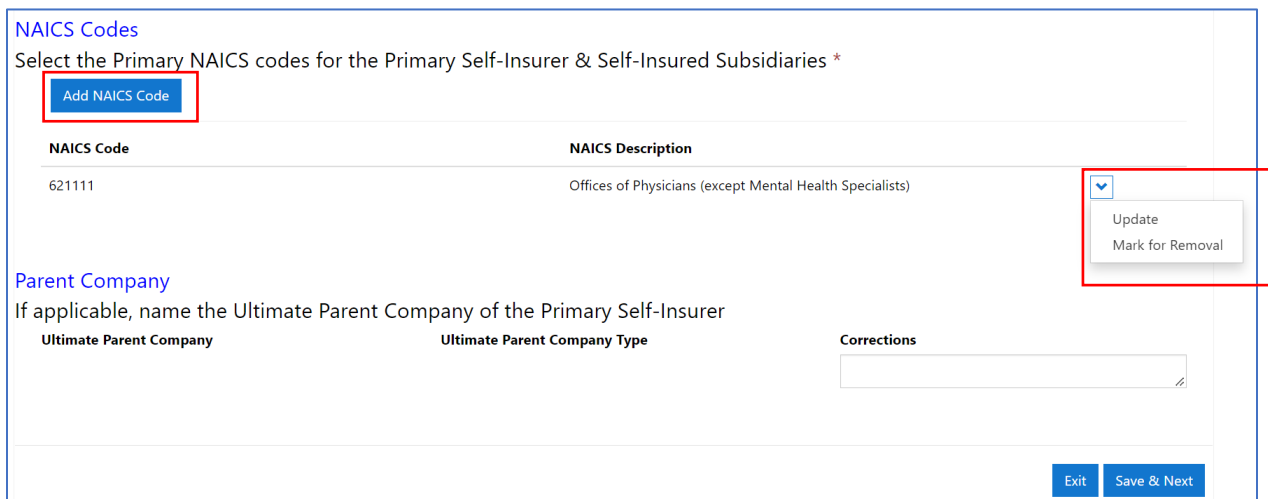
Figure 9.0

The next section requires the nature of business and the NAICS code(s) for the primary self-insurer and approved subsidiaries.

Fill in the field for *Nature of Business* if blank. Also, if you need to add new NAICS codes, click the *Add NAICS Code* button to bring up a new window (figure 9.1). Type the code or business description into the search bar and click the magnifying glass. Choose the correct NAICS Code/Description from the list and click *Select*. The use of a wildcard character is allowed/recommended in this search. You can type **physician** in the search bar to return all NAICS codes/descriptions that contain the word physician. If there are multiple results, click the box for the appropriate NAICS description and click the *Select* button. Click *Save & Close on the NAICS Code window*.

Notice that the NAICS Code selection you made now appears in the sub grid below the code and description. If there is a wrong code/description listed, click the down arrow at the end of the NAICS Code sub grid and click update or mark for removal.

If there is an ultimate parent company, it would be present on this screen. If there are corrections that need to be made, click in the *Corrections* text box, and enter those corrections. Once complete, Click *Save* and next.



NAICS Codes

Select the Primary NAICS codes for the Primary Self-Insurer & Self-Insured Subsidiaries *

Add NAICS Code

NAICS Code	NAICS Description
621111	Offices of Physicians (except Mental Health Specialists)

Parent Company

If applicable, name the Ultimate Parent Company of the Primary Self-Insurer

Ultimate Parent Company **Ultimate Parent Company Type**

Corrections

Exit **Save & Next**

Figure 9.1

The next section lists the approved subsidiaries/affiliates (figure 9.2). The user should verify the information for accuracy. If any of the information is incorrect, or if the employer has a subsidiary/affiliate to be removed from the self-insurance program, select the dropdown arrow to the right of the company to update. In the new window, show changes in the *Corrections* text box and select *Yes* if the subsidiary is *Marked for Termination*.

The following text boxes will not be pre-populated:

- The *Other Subsidiaries or Affiliates* text box should reflect the subsidiaries that are not approved self-insurers.
- The *Other States* text box should list all the states where the employer is currently self-insured for workers' compensation.

Once information is provided, click *Save & Next* to move forward. If you need to go back to the prior page, click *Previous* and you will be taken back one page.

10%

Previous Exit Save & Next

Self-Insured Subsidiaries / Affiliates

Legal Name ↑	FEIN	Self-Insured Effective Date	Street Address 1	Street Address 2	City	State	Zip	Subsidiary Or Affiliate	Corrections	Remove from Self-Insurance
Harrison Medical Center	67-1421426		852 Corporate Drive		Springfield	Ill	62629	Subsidiary	No	▼
Illinois HealthCare	67-2146752		888 Winding Way		Springfield	Ill	62629	Subsidiary	No	▼

Other Subsidiaries or Affiliates

List any Illinois subsidiaries/affiliates not listed above and indicate the insurance company providing workers' compensation coverage.

Figure 9.2

The next screen lists the existing self-insured locations reported by the employer (figure 9.3). The user can update or remove any locations from the list by selecting the dropdown arrow next to the operation name and select *Update*. Click *Save & Close* when done updating. The user can also add new self-insured locations using the *Add Physical Location* button (figure 9.3). Once the locations information is correct, click *Save & Next*. Note: If there are more than 15 locations, create a worksheet with all of the information contained on the *Add Physical Location* pop-up screen (Operation Name, Street Address 1, Street Address 2 if applicable, City, State, Zip, FEIN, Nature of Business and Avg. # Employees). This worksheet will be uploaded in a later step, prior to submission of the application to the IWCC. If the button to add a location is selected in error, click the x in the top right corner to close the pop up window. Clicking *Save & Close* will not allow you to move forward as the system expects data to be added to the fields before continuing.

20%

List the Physical Locations of each self-insured Operation.
Add at least one location. If more than 15 locations, provide a worksheet listing all locations. The worksheet should follow the format below and be submitted at the end of the renewal process.

Add Physical Location

Operation Name ↑	Street Address 1	Street Address 2	City	State	Zip	FEIN
Harrison Health Clinic	675 South Main Street		Springfield	Ill	62629	72-1541546
Harrison Medical Center	852 Corporate Drive		Springfield	Ill	62629	67-1421426
Illinois Healthcare	888 Winding Way		Springfield	Ill	62629	67-2146752

Previous Exit Save & Next

Figure 9.3

The next page of the renewal application provides previously reported information about primary, secondary, and assessment contacts. The user should verify the contact information for accuracy. If a contact change is necessary, click the magnifying glass next to the current contact to select and replace with another registered contact (as shown in figure 9.4). To delete the current contact, click the X.

Company Representatives

Primary Contact

Primary Contact

Janice Smith

X

Q

First Name *

Janice

Middle Initial

Last Name *

Smith

Title *

CEO

Company Name *

Harrison Health Clinic

Street Address 1 *

675 South Main Street

Street Address 2

City *

Springfield

State *

Ill

Zip *

62629

Phone *

(217) 206-4216

Phone Extension

Email *

mcdfad1+harrisonhealthclinic@gmail.com

Secondary Contact

Secondary Contact

Marci Smith

X

Q

First Name *

Marci

Middle Initial

Last Name *

Smith

Title *

Secondary Contact

Figure 9.4

If the Company Admin has added one or more company contacts to the profile, the user is able to click the magnifying glass and type in the name of the contact to be added for the three representative roles. Once you have found the contact's name, click to put a check mark next to

the name and click the *Select* button. The contact information for the selected user auto-populates the name, address, and phone. Do this for each contact type. If a person is chosen for a specific contact type by accident, put a check mark next to their name and click the *Remove Value* button. Repeat the above steps to add in the correct contact. You are ready to move to the next screen by clicking *Save & Next*.

Information regarding the claims service agency/claims self-administrator appears on the next page. If everything is correct, click *Save & Next*. If the information is not correct, you may update or remove the listed administrator by clicking the dropdown arrow to the right of the company. To add a new claims administrator, click the *Add Claims Administrator* button as shown in figure 9.5. After entering all required fields, *click Save & Next*. Note: a copy of new claims service agency contract or amendment must be uploaded in a later step.

The screenshot shows a web form titled "Claims Administrator" with a progress bar at 40%. Below the title is a description: "Provide contact information for Claims Service Agency OR if self-administered, the company Claims Administrator." There is a blue button labeled "Add Claims Administrator". Below this is a table with the following columns: Company Name (with an upward arrow), First Name, Middle Initial, Last Name, Title, Street Address 1, Street Address 2, City, State, Zip, Phone, Email, Type, and Active (with a dropdown arrow). The table contains one row for "Harrison Health Clinic" with the following details: First Name: Johnny, Middle Initial: Smith, Last Name: (blank), Title: Claims Administrator and Assessment Contact, Street Address 1: 675 South Main Street, Street Address 2: (blank), City: Springfield, State: Ill, Zip: 62629, Phone: (217) 206-1255, Email: mcdfad1+johnny@gmail.com, Type: Claims Self-Administrator, and Active: Yes.

Company Name ↑	First Name	Middle Initial	Last Name	Title	Street Address 1	Street Address 2	City	State	Zip	Phone	Email	Type	Active
Harrison Health Clinic	Johnny	Smith		Claims Administrator and Assessment Contact	675 South Main Street		Springfield	Ill	62629	(217) 206-1255	mcdfad1+johnny@gmail.com	Claims Self-Administrator	Yes

At the bottom right of the form are three buttons: "Previous", "Exit", and "Save & Next".

Figure 9.5

Information regarding the Security instruments maintained by the IWCC are listed on the next screen in detail. If there are corrections, they may be added to the *Security Instruments Correction* box as show in the following screenshot (figure 9.6).

Edit Renewal Application

50%

Previous

Exit

Save & Next

Security Instruments

Type of Security Instrument ↑	Amount	Security Instrument ID	Surety Company or Bank
Letter of Credit	\$2,000,000.00	111111	Existing

Security Instruments Correction

Figure 9.6

Information regarding the current Excess insurance reported to the IWCC is also listed on this page (figure 9.7). New policy information should be added here by clicking *Add Excess Policy Information*. After entering the required data, click *Save & Close*. Note: a copy of the new excess certificate must be uploaded in a later step. Once finished, click *Save & Next*.

Excess Insurance Policy

If this policy has been replaced, select "Add Excess Policy Information" and enter the new policy details. A copy of the current certificate (IC80) must be uploaded prior to submission of the renewal

Add Excess Policy Information

Excess Insurance Carrier ↑	Policy Number	Effective Date	Expiration Date	Specific Limit	Specific Retention	Aggregate Limit	Aggregate Retention
There are no records to display.							

Previous

Exit

Save & Next

Figure 9.7

Portal user should provide information about *Employees & Wages* on the next page (figure 9.8); simply click and type within the text boxes provided. Click *Save & Next*. Note: a copy of the wage reports must be uploaded in a later step.

Employees & Wages

*Obtain this information from your Employers' Contribution and Wage Report filed quarterly with the Dept. of Employment Security and provide copies of the reports and summary totals to evidence your response (Form UI - 3/40).

Average number of employees in Illinois for 2021:

Actual Illinois Wages Paid in 2021:

Previous Exit Save & Next

Figure 9.8

The next page contains information about Illinois claims Loss History. As shown in figure 9.9, data for previous years will be pre-populated based on previous reports provided to the Self-Insurance office. Claims information from the previous calendar year must be added by clicking the down arrow for each line item.

Illinois Loss History

Question	2021	2020	2019	2018
9A. Number of accidents requiring medical treatment other than first-aid that occurred during the calendar year. (Note: Obtain this information from your OSHA Log columns G, H, I, J.)	10	15	22	7
9B. Number of accidents requiring lost time of more than three days that occurred during the calendar year. (Note: Obtain this information from your OSHA Log column K.)	4	5	6	7
9C. Total dollars paid for Workers' Compensation Claims during calendar year. It is irrelevant what year the injury occurred; simply indicate total amount paid for Illinois claims during each calendar year. Do not subtract subrogation recovery or refunds when reporting compensation payments. THESE TOTALS SHOULD INCLUDE MEDICAL, INDEMNITY AND EXPENSE PAYMENTS.	\$350,124.75	\$250,145.75	\$500,475.60	\$
9D. Total amount of indemnity paid for Workers' Compensation claims in each calendar year. It is irrelevant what year the injury occurred; simply indicate total amount paid for Illinois indemnity payments during each calendar year. Do not subtract subrogation recovery or refunds when reporting compensation payments.	\$125,478.11	\$241,222.12	\$38,124.22	\$

Claims Information

Question *

9A. Number of accidents requiring medical treatment other than first-aid that occurred during the calendar year: (Note: Obtain this information from your OSHA Log columns G, H, I, J.)

Policy Year Ended	Total
2021	10
2020	15
2019	22
2018	7

Comments

Figure 9.9

The pre-populated information contained within the previous years' fields cannot be updated here (figure 10.0). Corrections must be indicated within the *Comments* field. The Self-Insurance office will review the corrections and contact the company if necessary. When all answers have been provided, click *Save & Next* to move to the next page of the renewal application. Note: a copy of the paid loss reports must be uploaded in a later step.

Figure 10.0

Providing Outstanding Loss Reserves detail is next (figure 10.1). The requested validation date for the reserves is indicated. Click within the text box and enter the appropriate information for each question listed. Click *Save & Next*. Note: a copy of the outstanding loss reserves must be uploaded in a later step.

Outstanding Loss Reserves

Provide answers to the following questions using the valuation date listed below.

3/15/2022

Total Outstanding Loss Reserves for all Self-Insured States

1000

Indicate number of States included above

1

Total Outstanding Loss Reserves for all Illinois Self-Insured claims.

This number represents the total amount reserved (but not paid) regarding all claims occurring in any year as of the date stated above.

Medical Reserve

Indemnity Reserve I

Expense Reserve

Total Outstanding Loss Reserves

If Total Outstanding Loss Reserves have increased or decreased more than 20% from the amount provided on last year's renewal, provide an explanation.

Figure 10.1

Two questions are presented on the next page (figure 10.2). Simple No/Yes responses are required; Notice if you select Yes on the second question, a reason for change in financial condition is required. Provide the reason and click *Save & Next*.

90%

Annual Financial Statement

Please indicate whether or not your company is required to file a 10K with the Securities Exchange Commission

☒ No ☐ Yes

Change in Financial Condition

Has any substantial change in the financial condition occurred or expected to occur, such as leveraged buyouts, mergers, major debt offering or bankruptcy?

☐ No ☒ Yes

Reason for change in financial condition *

Figure 10.2

The last page (noted with 100% complete in the blue bar across the top) instructs the user to attach the required documents for the renewal (figure 10.3). This is a mandatory step, and the renewal application cannot be submitted until the appropriate documents are attached.

Edit Renewal Application

100%

Renewal Application Documents

1. A signed affidavit is required. Select "Download to print Affidavit & Application" below to print and save.
2. Select "Attach Documents". Choose one Document Type from the drop down list, add your file and upload. Repeat for each required Document Type.
3. Once all the required documents are uploaded, click "Submit to IWCC" button. An error message will appear listing any missing documents.
4. Once the application is submitted, you will receive an email notification acknowledging its receipt.

Use consistent and descriptive file names that associate the document with this Application. Do not use the file names that contain the following special characters: /:*?<>|. Max file size is 10 megabytes.

Attach Documents

Document Type	Submitted By	Created On ↓
There are no records to display.		

Previous Exit Download to Print Affidavit & Application Submit to IWCC

Figure 10.3

Renewal Application Documents

1. A signed affidavit is required. Select "Download to print Affidavit & Application" below to print and save.
2. Select "Attach Documents". Choose one Document Type from the drop down list, add your file and upload. Repeat for each required Document Type.
3. Once all the required documents are uploaded, click "Submit to IWCC" button. An error message will appear listing any missing documents.
4. Once the application is submitted, you will receive an email notification acknowledging its receipt.

Use consistent and descriptive file names that associate the document with this Application. Do not use the file names that contain the following special characters: /:*?<>|. Max file size is 10 megabytes.

Attach Documents

Document Type	Submitted By	Created On ↓
There are no records to display.		

Previous Exit **Download to Print Affidavit & Application** Submit to IWCC

Figure 10.4

Per the instructions on the page, the first step is to select the *Download to print Affidavit & Application* button to print and save the renewal application (figure 10.4). A download appears in the lower left corner of the screen as a Microsoft Word document: Click on it to open. A *draft* of the application is presented to you for printing/reviewing/saving. The affidavit must be signed and notarized. Please note this is not the submitted renewal application.

Next, click the *Attach Documents* button and the Document Type drop down displays the various documents available for upload for the renewal application (figure 10.4). Select the document type, then click the *Add Files* button from the pop-up window. Navigate to the file you are uploading, click *Add Files*, and click the *Upload* button. Please note only one document type may be uploaded at a time. You must complete these steps for every document you upload into the SIP system. For uploading more than one file per document type, see section: *Uploading Multiple Files within a Document Type* on page 62.

Required documents for the renewal application include:

Signed Affidavit
Financial Statements-Parent
Outstanding Claim Reserve Report
Detailed Loss Reports
Wage Reports

These documents are required (if applicable, based on responses within the renewal):

Collectible Excess Insurance Report
Service Agency Agreement
Certificate of Excess Insurance
Evidence of conventional insurance coverage for Terminated subsidiary/affiliates (select other)
Financial Condition Change Explanation

Additional Support Documents:

Physical Locations List
 Spreadsheet with columns in the following order: Name, Street Address, City, State, Zip, FEIN, Nature of Business and Avg. # Employees
Quarterly Financial Statement
Staffing Company Additional Document
Other

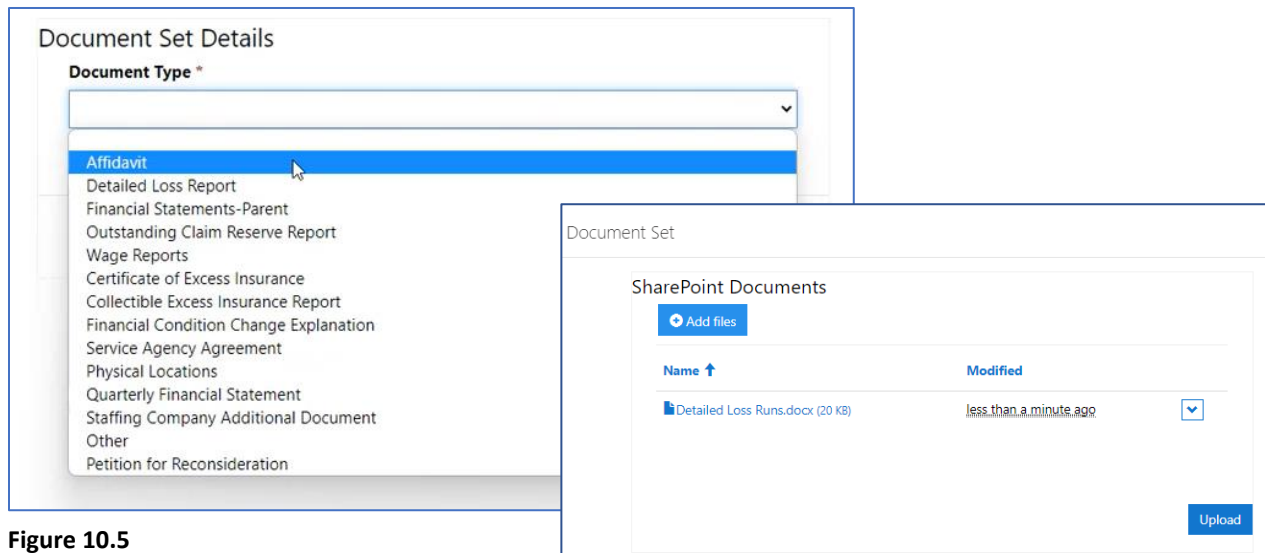


Figure 10.5

Note: all required documents must be uploaded prior to submitting the renewal application to the IWCC. When all documents have been attached and you have uploaded the signed affidavit to the portal, click the *Submit to IWCC* button. The system will give you an error message and list any missing required documents. Once all required documents have been submitted, a success message displays (figure 10.6).

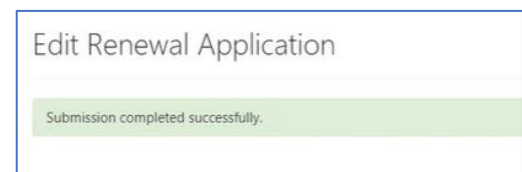


Figure 10.6

POST SUBMISSION OF THE RENEWAL APPLICATION

IMPORTANT: The renewal application will not be processed until the renewal fee has been paid. It currently cannot be paid through the self-insurance Plus Portal. Please remit fee to:

Illinois Workers' Compensation Commission
Office of Self-Insurance
Springfield Regional Office Building
4500 South 6th St. Frontage Road
Springfield, IL 62703

No changes may be made to the renewal application after it is submitted. It can be viewed, but not altered. If you make a mistake on the renewal application, you may contact the IWCC by clicking the *Contact Us* at the bottom left of the screen, allowing you to email the self-insurance team for assistance (wcc.selfinsurance@illinois.gov).

If the user failed to attach a document, they can go back to the *Upload Document* screen and attach it. Click on the *Self-Insurers Annual Privilege Renewal* from the SIP homepage screen to return to the renewal screen. Select the renewal to attach additional documents. The system will take you to the last page with the *Attach Documents* button.

To follow the status of the renewal, click on the *Self-Insurers Annual Privilege Renewal* button from the SIP homepage and select the renewal (figures 10.7 & 10.8).

Self-Insurers Annual Privilege Renewal								
Profile	Renewal Year	Self-Insurer Name	Analyst (Owner)	Modified Date	Renewal Application Fee Received (Y/N)	Renewal Application Status	Date submitted ↑	Date Sent
Harrison Health Clinic	2022	Harrison Health Clinic	# Fran Davis	6/21/2022 2:06 AM		Renewal Received	6/21/2022	5/2/2022

Figure 10.7

Note: Please note the status of items you submit to the IWCC. Certain status descriptions allow you to make updates or edits, while some do not.

Once IWCC reviews the application and the Notice is signed by the Chairman, the primary and secondary contacts will receive an email that a Notice is available to be viewed. Click on the *Self-Insurers Annual Privilege Renewal* button from the SIP homepage to return to the renewal application screen. Select the dropdown arrow to the right of the *Renewal Year*, select *View* (figure 10.8). Click *Next*. The Notice letter will be listed with all the documents the user previously uploaded. The Notice letter can be viewed/downloaded by clicking the down arrow (figure 10.9). IMPORTANT: There may be deadline requirements in the Notice.

Self-Insurers Annual Privilege Renewal								
Profile	Renewal Year	Self-Insurer Name	Analyst (Owner)	Modified Date	Renewal Application Fee Received (Y/N)	Renewal Application Status	Date submitted ↑	Date Sent
Harrison Health Clinic	2022	Harrison Health Clinic	# Fran Davis	6/21/2022 2:06 AM		Renewal Received	6/21/2022	5/2/2022

Figure 10.8

Attach Documents

Document Type	Submitted By	Created On ↓
Notice of Conditional Approval Renewal Application		3/1/2022 2:52 PM

Document Set

SharePoint Documents

Name ↑	Modified
Application-Conditional Final.pdf (152 KB)	2 minutes ago

Figure 10.9

After reviewing the *notice*, any required documents can be uploaded by clicking the *Documents* button from the SIP homepage (refer to *Documents* button description for additional information).

Renewal Application Documents

1. A signed affidavit is required. Select "Download to print Affidavit & Application" below to print and save.
2. Select "Attach Documents". Choose one Document Type from the drop down list, add your file and upload. Repeat for each required Document Type.
3. Once all the required documents are uploaded, click "Submit to IWCC" button. An error message will appear listing any missing documents.
4. Once the application is submitted, you will receive an email notification acknowledging its receipt.

Use consistent and descriptive file names that associate the document with this Application. Do not use the file names that contain the following special characters: /:*?<>|. Max file size is 10 megabytes.

Attach Documents

Document Type	Submitted By	Created On ↓	
Notice of Conditional Approval Renewal Application		3/1/2022 2:52 PM	
Notice of Conditional Approval Renewal Application		3/1/2022 2:32 PM	
Financial Analysis		3/1/2022 2:03 PM	
Certificate of Excess Insurance	Rajul Jain	3/1/2022 1:30 PM	

Figure 11.0

Self-Insurance Termination Request

If an approved self-insurer is terminating its self-insurance privilege, a user may begin the termination process by clicking the *Company Certificates* button from the SIP homepage. The certificates page shows all the company's self-insurance certificates (figure 11.1).

Company Certificates

Search Certificates

Company Name	FEIN	Certificate Number	Parent Profile	Self-Insurance Date	Termination Date	Status Reason
Microsoft Test	12-3354321	20212-3354321	Microsoft Test	2/28/2022		Active

Termination Requests

Search Termination Request

Company Name	FEIN	Certificate Number	Parent Profile	Self-Insurance Date	Termination Date	Status Reason
There are no records to display.						

Create Termination Request

Figure 11.1

Click the down arrow next to the company being terminated from the self-insurance program and select *Create Termination Request* (shown in figure 11.2). There are required fields for the termination request, one of which is a *Reason* for the termination. Please provide the detail as to why you wish to terminate self-insurance; click *Save & Next*. The next page allows documents to be attached. Click *Attach Documents* and select the appropriate document type to upload. Choose *Add Files* and navigate to the document you are uploading. Once selected, click *Add files* and click *Upload*. Note: At least one of the document types listed below in the screenshot must be attached for the termination request. Once attachment(s) is complete, click *Submit to IWCC*.

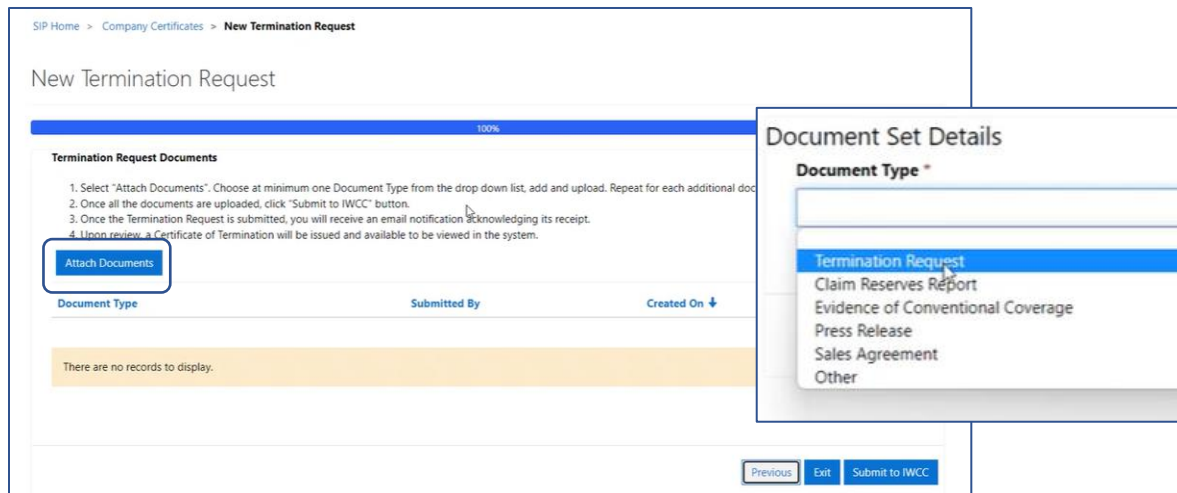


Figure 11.2

As per the instructions on the page detail, you will receive an email notification of receipt of the request and the *Company Certificates* page will reflect the submission (figure 11.3). Once IWCC reviews and approves the request, a Certificate of Termination will be issued, and available via the SIP home screen.

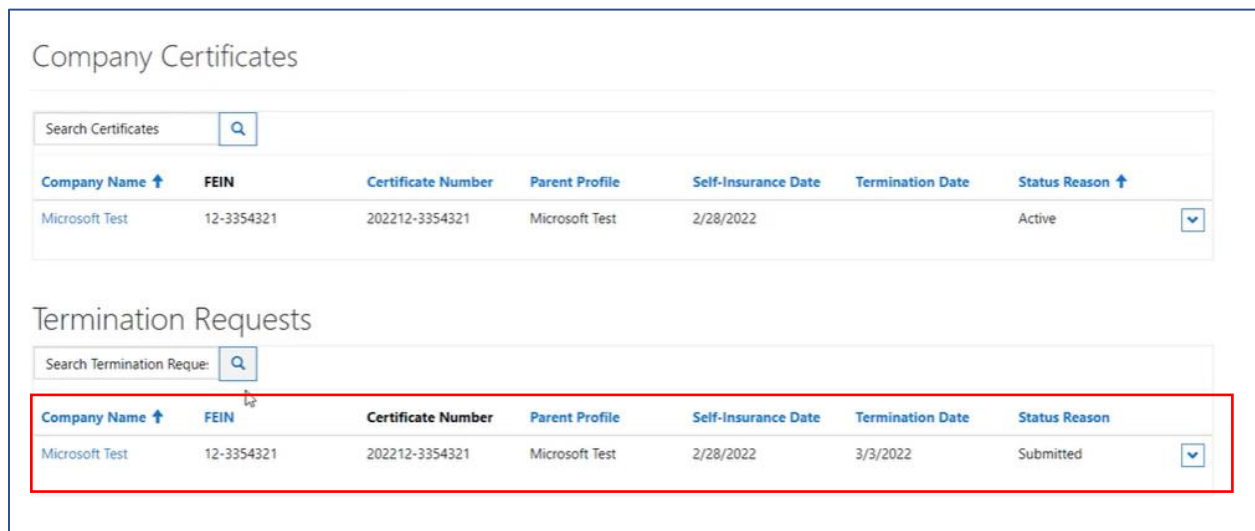


Figure 11.3

If you submit a termination request by mistake, or realize after the fact, that you need to withdraw the termination request, please contact the IWCC for assistance. *You cannot withdraw the termination request in the portal.*

When IWCC has processed the termination certificate, the status reason for the request will be *Completed*, as shown below.

Company Certificates

Company Name ↑	FEIN	Certificate Number	Parent Profile	Self-Insurance Date	Termination Date	Status Reason ↑
Microsoft Test	12-3354321	202212-3354321	Microsoft Test	2/28/2022	3/10/2022	Termination Certificate to Employer

Download

Termination Requests

Company Name ↑	FEIN	Certificate Number	Parent Profile	Self-Insurance Date	Termination Date	Status Reason
Microsoft Test	12-3354321	202212-3354321	Microsoft Test	2/28/2022	3/3/2022	Completed

Figure 11.4

As shown above, you may download a copy of the termination certificate by clicking the down arrow on the certificate line item and selecting *download* (see figure 11.4). A new window appears; click the blue link to view/download the termination certificate.

Filing an Initial Application for Self-Insurance Required Information and Documents for the Self-Insurance Plus System

Private employers: After answering the application questions in the online system, you must download an affidavit page for the signatures of the appropriate company officers and notary. Then you will be required to upload the signed affidavit before final submission of the application. The information and documents required to complete the application are listed below.

In addition, the online application will not be processed until receipt of the nonrefundable application fee of **\$500** for each separate legal entity applying. You will receive an email confirmation upon our receipt of the application payment and all required documents.

Make the check payable to the “Illinois Workers’ Compensation Commission” and mail to:

**Illinois Worker’s Compensation Commission
Office of Self-Insurance
4500 S. Sixth St., Frontage Road
Springfield, IL 62703-5118**

Gather the following information and documents before starting the online application. Note if the application information is not entered in one session, you will be able to save and resume the process until final submission.

- 1) Representative information for primary, secondary, and assessment contacts.
- 2) Federal Employer Identification Number (FEIN) for applicant, any applying subsidiaries, and ultimate parent, if applicable.
- 3) North American Industry Classification System (NAICS) code(s) describing nature of business.
- 4) Corporate principals’ contact information.
- 5) Physical locations. If more than 15, a list can be uploaded following the online format.
- 6) Evidence of current coverage.
- 7) Estimated annual workers’ compensation premium for the last completed calendar year detailing the insurance class codes, estimated payroll, and current manual rate.
- 8) Detailed loss runs for the last 3 completed years.
- 9) Description of fatalities, if any.
- 10) Proposed claims administrator information.
- 11) Safety Representative information and a description of the safety program for the Illinois operations.
- 12) Information regarding any potential exposure to substances that may cause occupational disease.
- 13) Explanation if workers’ compensation insurance has been refused or canceled.
- 14) Explanation if an application for self-insurance has been denied or a certification revoked.
- 15) List of other self-insured jurisdictions.
- 16) Financial Statements
 - (a) If the applicant has an ultimate parent, provide the ultimate parent company’s audited financial statements for the most recent three years.
 - (b) If the applicant has no ultimate parent, provide the applicant’s audited financial statements for the most recent three years.
 - (c) If certified audited financial statements are not prepared, provide the financial statements prepared by an outside accountant for the most recent three years.
- 17) Current 10Q or internal quarterly balance sheet and income statement.
- 18) Experience Modification Factor report. Provide an explanation if the factor is greater than one.
- 19) Organizational Chart indicating which entities with operations in Illinois are seeking self-insurance.
- 20) Excess insurance quotes if applicant chooses to purchase excess coverage.

Direct questions to: wcc.selfinsurance@llinois.gov

Filing a Subsidiary Application for Self-Insurance Required Information and Documents for the Self-Insurance Plus System

Private employers: After answering the application questions in the online system, you must download an affidavit page for the signatures of the appropriate company officers and notary. Then you will be required to upload the signed affidavit before final submission of the application. The information and documents required to complete the application are listed below.

In addition, the online application will not be processed until receipt of the nonrefundable application fee of **\$500** for each separate legal entity applying. You will receive an email confirmation upon our receipt of the application payment and all required documents.

Make the check payable to the “Illinois Workers’ Compensation Commission” and mail to:

**Illinois Worker’s Compensation Commission
Office of Self-Insurance
4500 S. Sixth St., Frontage Road
Springfield, IL 62703-5118**

Gather the following information and documents before starting the online application. Note if the application information is not entered in one session, you will be able to save and resume the process until final submission.

- 1) Federal Employer Identification Number (FEIN) for applying subsidiaries.
- 2) North American Industry Classification System (NAICS) code(s) describing nature of business.
- 3) Physical locations. If more than 15, a list can be uploaded following the online format.
- 4) Evidence of current coverage, if applicable.
- 5) Estimated annual workers’ compensation premium for the last completed calendar year detailing the insurance class codes, estimated payroll, and current manual rate, if applicable.
- 6) Detailed loss runs for the last 3 completed years, if applicable.
- 7) Description of fatalities, if any.
- 8) Safety Representative information and a description of the safety program for the Illinois operations.
- 9) Information regarding any potential exposure to substances that may cause occupational disease.
- 10) Financial Statements
 - (a) If the applicant has an ultimate parent, provide the ultimate parent company’s audited financial statements for the most recent three years.
 - (b) If the applicant has no ultimate parent, provide the applicant’s audited financial statements for the most recent three years.
 - (c) If certified audited financial statements are not prepared, provide the financial statements prepared by an outside accountant for the most recent three years.
- 11) Current 10Q or internal quarterly balance sheet and income statement.
- 12) Experience Modification Factor report, if applicable. Provide an explanation if the factor is greater than one.
- 13) Organizational Chart indicating which entities with operations in Illinois are seeking self-insurance.

Direct questions to: wcc.selfinsurance@illinois.gov

Revised 7/25/2022

**Filing a Renewal Application for Self-Insurance
Required Information and Documents for the Self-Insurance Plus System**

Private employers: After answering the renewal application questions in the online system, you must download an affidavit page for the signatures of the appropriate company officers and notary. Then you will be required to upload the signed affidavit before final submission of the renewal application. The information and documents required to complete the renewal application are listed below.

In addition, the online application will not be processed until receipt of the nonrefundable application fee of **\$500** for each separate legal entity applying. You will receive an email confirmation upon our receipt of the application payment and all required documents.

Make the check payable to the “Illinois Workers’ Compensation Commission” and mail to:

**Illinois Worker’s Compensation Commission Office of Self-Insurance
4500 S. Sixth St., Frontage Road Springfield, IL 62703-5118**

Gather the following information and documents before starting the online application. Note if the application information is not entered in one session, you will be able to save and resume the process until final submission.

- 1) Claims administrator information, including the Service Agency agreement, if applicable.
- 2) Certificate of Excess Insurance.
- 3) Wage report for prior calendar year.
- 4) Claim Payment report for prior calendar year.
- 5) Claim Reserve report for the most recent quarter ended.
- 6) Collectible excess insurance report, if applicable.
- 7) Financial Statements
 - (a) If the applicant has an ultimate parent, provide the ultimate parent company’s audited financial statements for the most recent three years.
 - (b) If the applicant has no ultimate parent, provide the applicant’s audited financial statements for the most recent three years.
 - (c) If certified audited financial statements are not prepared, provide the financial statements prepared by an outside accountant for the most recent three years.

Direct questions to: wcc.selfinsurance@illinois.gov

Uploading Multiple Files within a Document Type

- i. Click any of the *Attach Documents* buttons. The Document Type box appears.
- ii. Select the document type appropriate for the document and in the Add files modal, select the files pertinent to the document type.
 - a. You can click *Ctrl* and select the files one at a time.
 - b. You may also click the Shift button and click the first and last files to select all files in between.
- iii. Click Open. Notice in the Add files modal, the number of files is displayed.

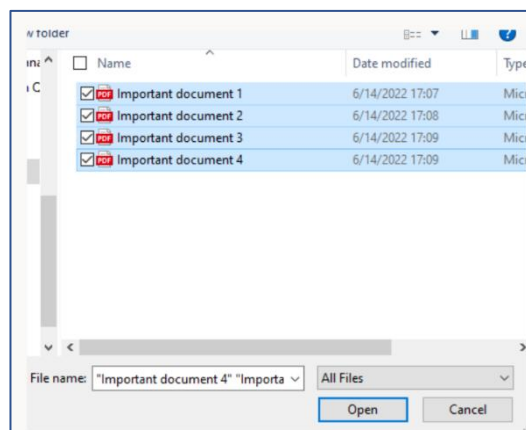


Figure 11.5

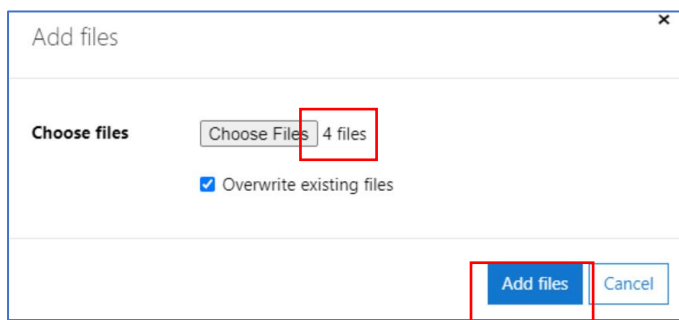


Figure 11.6

- iv. Click *Add files*. The list of files to upload is displayed.

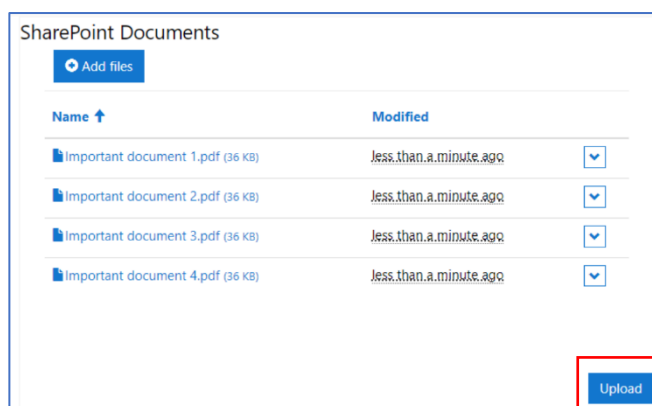


Figure 11.7

- v. Click *Upload* and the documents are uploaded into the portal. Click here to go back to uploading single files to SIP.

Glossary of Terms

Affiliate: A company associated with another company under common ownership.

Assessment: Illinois Workers' Compensation Commission's statutory requirement to fulfill self-funding obligations.

Corporate Principal(s): Also known as a Corporate Officer, a high-level management executive such as CEO, CFO, treasurer, president, vice-president, or secretary.

Estimated Annual Payroll: The projected annual payroll for any individual workers' compensation insurance classification code.

Excess Insurance: An insurance policy that indemnifies the self-insured employer for workers' compensation claims exceeding a designated dollar amount.

Experience Modification Factor: A numerical score of a company's workers' compensation claims history. It is the ratio of a company's actual claim costs compared to the expected costs for companies of similar size in the same industry.

Insurance Classification Codes: Three- or four-digit numerical code assigned by the National Council on Compensation Insurance (NCCI). These codes are assigned to differentiate between various job duties or work performed by employees.

Insurance Company: a company that sells a policy promising to pay for certain losses. Insurance companies that do *not* write workers' compensation insurance policies in Illinois, but are licensed to do so, are *still* required to complete Rate Adjustment/Second Injury Funds assessments.

Local Public Entity: any city, county, village, township, school district, or any other political subdivision organized under the laws of this state. An Illinois public entity may insure itself under the IWCC Acts and shall file annually with the IWCC its election to self-insure.

Loss Runs: A report showing a company's claim activity. A loss run includes claimant name, policy number, date of injury, type of injury, claim status, amounts paid and reserved.

Manual Rate: A unit of cost that is multiplied by an exposure base to determine an insurance premium.

Non-SI Company: Refers to portal users that are not private employers certified for the self-insurance privilege. These include insurance companies, local public entities, and pools. Non-SI Companies can only access *Assessments* in the SIP portal. (If you are an insurance company and you do *not* write workers' compensation insurance policies in Illinois, but are licensed to do so, you are *still* required to complete the assessment form).

Operations Fund: Created to pay the administrative costs of the Illinois Workers' Compensation Commission. More information regarding this fund can be found on the [Assessments](#) page of the Commission's website.

Pools-Group Workers' Compensation /Intergovernmental /Not-For-Profit Trust: Two or more employers or members of an association with homogenous risk characteristics that have combined their workers' compensation liability exposure collectively.

Private Self-Insured Employer: An employer granted permission to assume the financial responsibility for providing workers' compensation benefits for its employees.

Rate Adjustment Fund (RAF): Created to pay cost-of-living increases to individuals who are either permanently or totally disabled or the survivors of fatally injured workers. Individuals who receive permanent and total disability or death benefits are eligible. More information regarding this fund can be found on the Commission's website <https://www2.illinois.gov/sites/iwcc/resources/Pages/funds.aspx>.

Second Injury Fund (SIF): Created to provide an incentive to employers to hire disabled workers. If a worker previously incurred the complete loss of a member (one hand, arm, foot, leg, or eye) is injured on the job and suffers the complete loss of another member, so that he/she is permanently and totally disabled (PTD), the employer is liable only for the injury due to the second accident. More information on this fund can be found on the Commission's website <https://www2.illinois.gov/sites/iwcc/resources/Pages/funds.aspx>.

Security Instruments: Documents required by the IWCC to ensure the applicant satisfies the IWCC requirements to be self-insured. Applicants are required to furnish security in the form of a letter of credit, surety bond or escrow account to the Commission to guarantee payment of its workers' compensation obligation. This is to be precedent to approval of initial or renewal applications for self-insurance.

Self-Insurance Plus (SIP): The IWCC system enabling electronic submission of self-insurance initial applications, sub applications, and renewal applications, as well as assessments, and more.

Self-Insured Company: An employer that has obtained certification to self-insure its workers' compensation liabilities from the Illinois Workers' Compensation Commission; or an employer that is part of a Pool regulated by the [Illinois Department of Insurance](#) or a local public entity that may self-insure without obtaining certification.

Self-Insurers Security Fund (SISF): Created to pay benefits to employees of insolvent private self-insurers. More information regarding this fund can be found on the Commission's website <https://www2.illinois.gov/sites/iwcc/resources/Pages/funds.aspx>

Subsidiary: A company owned or controlled, directly or indirectly, by a company owning more than 50%.

Ultimate Parent: The topmost responsible entity of a corporate organizational structure.

10-K: A comprehensive report filed ***annually*** by a publicly traded company about its financial performance and is required by the U.S. Securities and Exchange Commission. The report contains much more detail than a company's annual report and is provided to its shareholders before an annual meeting to elect company directors.

10-Q: A quarterly report of financial performance required of all public companies to the Securities and Exchange Commission. This report contains financial statements, management discussion, and is usually unaudited.

Freedom of Information Act (FOIA)

User will click the FOIA request link to access the FOIA form.

Illinois Workers' Compensation Commission

FOIA Request

0%

General

Name
Janice Smith

Address Line 1
444 State Street

Address line 2

City
Springfield

State
Ill

Zip
60629

If you request hard copy files by mail, you may be required to pay a copying fee before the Commission will provide these records. Files provided by email will not be subject to any fees. Please provide an email address or check the box to confirm you are willing to pay any fees associated with this request.

☒ I am willing to pay any fees associated with this request

Requestor Email Address *
mcdlad1+janicesmith@gmail.com

Phone

Exit Save & Next

Figure 11.8

The form contains basic information that allows the IWCC FOIA staff to accurately capture the details of the request. Notice there is only one required field in figure 11.8: the *Requestor Email Address*. This allows IWCC to contact the requestor when necessary. Once the form is filled out, the user clicks *Save & Next*.

The next screen is where the details of the request will be put into the form. Click the *Add FOIA request details* button.

FOIA Request

100%

Records Requested

*Provide as much detail as possible so the Commission can identify the information you are seeking. If you are requesting files or documents associated with an IWCC case, please use the case number field, below.

FOIA Request Details

Add FOIA request details

Case Number ↑	Requested Document
There are no records to display.	

NOTE: It is a violation of the Freedom of Information Act for a person to knowingly obtain a public record for a commercial purpose without disclosing that it is for a commercial purpose if requested to do so by the public body. (5 ILCS 140/3.1) (c)

Are you asking for these records for commercial use/purposes?
☒ No ☐ Yes

Figure 11.9

A new window opens for adding *Case Number*, *Requested Document* type (see dropdown in screenshot), and a free form text box to allow for any details needed for successful fulfillment of the request. Notice case number is only needed if applicable to a case. It is a mandatory field, but N/A is an acceptable entry. Click *Save* when this page is completed.

Figure 12.0

Figure 12.1

Attach documents, if necessary, by clicking the *Attach Documents* button. A code displays at the bottom left of the request form. Enter the letters/numbers into the box and click *Submit to IWCC* when finished.

An email confirmation is sent to the requestor letting them know the request has been received by the IWCC and will be responded to according to the Freedom of Information Act.

Figure 12.2