

**Illinois Workers' Compensation  
Commission  
(IWCC)**

**Electronic Data Interchange (EDI)  
Implementation Guide**

# Illinois Workers’ Compensation Commission

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# INTRODUCTION

## Preface

This Implementation Guide is designed to assist insurers; self-administered, self-insured employers; claim administrators; and vendors with the transition from paper filing to electronic filing of First and Subsequent Reports of Injury. The guide will also serve as a tool during the EDI set-up process for reporting First and Subsequent Reports of Injury to the Illinois Workers' Compensation Commission.

If there are any questions about the information provided in this guide, please direct all inquiries to: [IWCC-EDICoordinator@ebix.com](mailto:IWCC-EDICoordinator@ebix.com).

## Contact Information

### **IWCC EDI Coordinator**

Questions about EDI reporting to [IWCC-EDICoordinator@ebix.com](mailto:IWCC-EDICoordinator@ebix.com).

### **Illinois Workers' Compensation Commission**

The IWCC website is located at <https://www2.illinois.gov/sites/iwcc>.

### **IAIABC**

The IAIABC EDI resources for Claims Release 3.1 are located at <https://www.iaiabc.org>. The IAIABC EDI Release 3.1 Implementation Guide is also available at this website. The IWCC supports the Release 3.1 Version of the Claims EDI and exclusively accepts XML file format.

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# Accident Reporting History

## ACCIDENT REPORTING REQUIREMENTS UNDER THE ILLINOIS WORKERS' COMPENSATION ACT

### 820 ILCS 305/6(b): Accident Reports

- (b) Every employer subject to this Act shall maintain accurate records of work-related deaths, injuries and illness other than minor injuries requiring only first aid treatment and which do not involve medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job and file with the Commission, in writing, a report of all accidental deaths, injuries and illnesses arising out of and in the course of the employment resulting in the loss of more than 3 scheduled work days. In the case of death such report shall be made no later than 2 working days following the accidental death. In all other cases such report shall be made between the 15th and 25th of each month unless required to be made sooner by rule of the Commission. In case the injury results in permanent disability, a further report shall be made as soon as it is determined that such permanent disability has resulted or will result from the injury.

All reports shall state the date of the injury, including the time of day or night, the nature of the employer's business, the name, address, age, sex, conjugal condition of the injured person, the specific occupation of the injured person, the direct cause of the injury and the nature of the accident, the character of the injury, the length of disability, and in case of death the length of disability before death, the wages of the injured person, whether compensation has been paid to the injured person, or to his or her legal representative or his heirs or next of kin, the amount of compensation paid, the amount paid for physicians', surgeons' and hospital bills, and by whom paid, and the amount paid for funeral or burial expenses if known. The reports shall be made on forms and in the manner as prescribed by the Commission and shall contain such further information as the Commission shall deem necessary and require.

The making of these reports releases the employer from making such reports to any other officer of the State and shall satisfy the reporting provisions as contained in the "Health and Safety Act" and "An Act in relation to safety inspections and education in industrial and commercial establishments and to repeal an Act therein named", approved July 18, 1955, as now or hereafter amended. The reports filed with the Commission pursuant to this Section shall be made available by the Commission to the Director of Labor or his representatives and to all other departments of the State of Illinois, which shall require such information for the proper discharge of their official duties. Failure to file with the Commission any of the reports required in this Section is a petty offense. Except as provided in this paragraph, all reports filed hereunder shall be confidential and any person having access to such records filed with the Industrial Commission as herein required, who shall release any information therein contained including the names or otherwise identify any persons sustaining injuries or disabilities, or give access to such information to any unauthorized person, shall be subject to discipline or discharge, and in addition shall be guilty of a Class B misdemeanor.

The Commission shall compile and distribute to interested persons aggregate statistics, taken from the reports filed hereunder. The aggregate statistics shall not give the names or otherwise identify persons sustaining injuries or disabilities or the employer of any injured or disabled person.

# EDI Reporting Rules

## Electronic Data Interchange (EDI)

Electronic Data Interchange (EDI) is the electronic interchange of business information using a standardized format; a process which allows an organization to send information to another organization electronically rather than with paper. Business entities conducting business electronically are called trading partners. The IWCC has adopted the IAIABC Claims Release 3.1 EDI Standard. Previously, only First Reports of Injury (FROI) were accepted electronically. With the implementation of IAIABC Claims Release 3.1, both FROIs and Subsequent Reports of Injury (SROI) will be accepted electronically instead of on paper.

## EDI Trading Partner Process: Definition and Initiation

A trading partner is a term used to designate the entity responsible for submitting EDI reports to the IWCC. All of the Trading Partner Agreement and Profile Documents must be completed before any files are submitted and before EDI transmissions can begin. Trading partners must complete these forms immediately so that the IWCC EDI Coordinator can reserve an appropriate place in the testing and implementation schedule. Once the Trading Partner Agreement and Profile Documents have been received, the IWCC EDI Coordinator will make contact to develop and agree upon a testing and implementation plan and schedule.

In preparation for testing, trading partners will need to review the Illinois EDI Data Requirements and Claim Events for reporting and determine changes that will need to be made in order to comply with the new standard. Testing requires that test transactions come to the IWCC through the reporting and “sending” systems that will be used once approval is received to send “production” transmissions.

## Low Filer Definition

Trading partners who submit 250 workers’ compensation claims or less to the IWCC annually will have the option to manually submit FROIs and SROIs via an online submission portal. This option would supplant the use of XML EDI transmissions. Manual web-based reporting will be limited to small-volume filers. If your organization qualifies and you wish to file via the online submission portal, please designate this as your desired reporting type when filling out your Trading Partner Agreement and Profile Documents. If you later decide to begin reporting through XML EDI transmission, either through a vendor or directly, you will be required to update your Trading Partner Agreement and Profile Documents. Trading partners are only allowed to select one reporting option at a time.

## Electronic Data Reporting Format

The IWCC has adopted the IAIABC Claims Release Standards for all EDI submissions. The IAIABC Implementation Guide can be found on the IAIABC website (<https://iaiaabc.org>). Data format must be in compliance with the standard XML file format described in the IAIABC EDI Release 3.1 Implementation Guide and IAIABC XML Companion Guide (also available on the IAIABC website).

## IWCC EDI Reporting Requirements

EDI reporting requirements are described below. The IWCC Event Table, Element Requirement Table, and Edit Matrix can be found at <https://www2.illinois.gov/sites/iwcc/Pages/EDIImplementation.aspx>.

### **Event Table (ET)**

The IWCC Event Table identifies the situations for which an EDI filing is required and provides the following information:

- Describes conditions that “trigger” electronic reports required by the IWCC
- Describes when the report is due
- Describes Report Due dates based on the IWCC legislative mandate

### **Element Requirement Table (ERT)**

The IWCC Element Requirement Table includes the following details:

- Lists the data elements that are required for each FROI/SROI listed on the IWCC Event Table.
- Identifies data elements that contain the indicator “MC” (Mandatory Conditional). The conditions for the “MC” data elements are detailed in the ERT.
- Gives requirements for reporting event benefit segment

### **Edit Matrix (EM)**

The IWCC Edit Matrix describes editing that will be applied to transactions coming into the IWCC and includes the following information:

- IWCC Edit Matrix Change Log—describes the changes that have been made to the Edit Matrix since the last version was published.
- DN-Error Message—describes editing that will be applied to each data element.

- Value Table—lists the valid code values
- Valid Value Detail Page 1—first page of a Quick Code reference listing.
- Valid Value Detail Page 2—second page of a Quick Code reference listing.
- Match Data—lists the data elements that will be used to determine if the report will create a new claim or be matched to an existing claim
- Population Restrictions—details the restrictions applied to the data element(s).
- Sequencing—transaction sequencing for the IWCC. Specifically, the order in which MTCs must be sent.



# Transmitting EDI Files

## Secure FTP (File Transfer Protocol)

Trading partners will connect to a standard SFTP (Secure File Transfer Protocol) server hosted by the IWCC. The trading partner will be contacted with their appropriate login information.

Once access is granted and the necessary information exchanged, trading partners may log into the SFTP server using their normal tools and method of connecting to SFTP. Then, upload FROIs/SROIs into the specified location on the server. There is a maximum of 3,000 claims per file. See the file naming convention provided later in this document under Testing Requirements. The files will be picked up, processed, and then deleted from the specified location.

Acknowledgments will be processed within 48 hours and trading partners are required to check the specified location for acknowledgment files. The file naming convention for the acknowledgment files is:

`wc_edi_ack_il_CCYYMMDD_HHMMSSsss.XML`

The trading partner is required to delete files from the specified location as soon as they have been successfully received.

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# Testing Requirements

## Overview

All trading partners submitting to the IWCC are required to submit an updated Trading Partner Document for Release 3.1 before May 17, 2019, or before starting testing. Trading partner and EDI vendor testing for IWCC FROI/SROI IAIABC Claims EDI Release 3.1 will begin February 25, 2019, and continue through May 24, 2019. EDI vendors already submitting IAIABC XML files to at least one R3.1 EDI state at the time of testing are only required to complete connectivity testing requirements. All other vendors and trading partners must complete the entire test plan.

Important Dates:

- Testing – February 25, 2019, until May 24, 2019
- Updated Trading Partner Document – due by May 17, 2019, or prior to starting testing
- Go-Live Date – June 14, 2019
- Legacy Claim Filings Due – 8/16/2019

For additional information or help, please contact the IWCC EDI Support Team at [IWCC-EDICoordinator@ebix.com](mailto:EDICoordinator@ebix.com).

## Test Plan Procedures

The IWCC Test Plan is located at <https://www2.illinois.gov/sites/iwcc/Pages/EDIImplementation.aspx>. This test plan includes the expectations to be approved for production EDI reporting.

### Business Content Test File

After the IWCC's acknowledgement that the technical capability test file has been received and the IWCC EDI Test Coordinator has approved the capability portion of the test, the claim administrator will forward the first business content test file of First Reports of Injury to the IWCC. The IWCC requires that the business content test file batches be separate transmissions sent on different dates during the claim administrator's test period. This applies to both FROIs and SROIs. Each business content test file's First Report of Injury transaction must meet the following conditions:

- Must be sent from the claim administrator's production EDI system;
- Must contain data from "actual claims" handled by the claim administrator, which may either be open or closed claim files; and
- Must reflect the full spectrum of required FROI reports (some of which are "00" Original First Report of Injury and at least one "AQ" Acquired/Unallocated First Report of Injury and one "04" Denial First Report of Injury).

- File naming convention:  
WC\_EDI\_FROI\_IL\_masterfein\_CCYYMMDD\_HHmms  
where:  
MASTERFEIN is the FEIN that has been entered on the trading partner's Trading Partner Agreement  
CCYYMMDD is the date format  
HHmms is the time format

The business content test file must contain the following transactions in the proper sequence:

### **FROI Testing**

#### **First Batch of FROIs**

- Header Record (Test/Production Indicator, set to "T")
- 16 First Reports of Injury with the following:
  - 7 FROI/00 (original)
  - 1 FROI/00 (original) is rejected (*Suggest removing a piece of mandatory data or sending with invalid Employers FEIN*)
  - 1 FROI/04 (denial) without agency claim number
  - 3 FROI/AQ (acquired) without agency claim number
  - At least four (4) FROI Update Report (MTC URs) with no errors that will obtain a TA
- Trailer Record

The claim administrator may not send a second or follow up batch business content test file until it has received the acknowledgements that fit the requirements of the previous batch of First Reports of Injury. Send the second test file batch immediately after receiving the acknowledgement from the first test batch file. The second test file batch must contain no more than 10 transactions and include the transactions with the following MTCs.

#### **Second Batch of FROIs**

- Header Record (Test/Production Indicator, set to "T")
- Recommended transactions to send with second batch (limited to 9 transactions):
  - 5 FROI/00 (original) are accepted
  - 1 FROI/00 (original) corrected for FROI/00 rejected in first batch
  - 2 FROI/02 (change) from accepted FROI/00 in first batch
  - 1 FROI/01 (cancel) from accepted FROI/00 in first batch
- Trailer Record

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## **SROI Testing**

When the claim administrator has completed testing of First Reports of Injury and has been approved to move into production status, the testing of Subsequent Reports of Injury begins. It is important to complete both the First Report of Injury testing and the Subsequent Report of Injury testing during the scheduled test period assigned to each claim administrator and prior to the projected EDI implementation date.

### **First Batch of SROIs**

- Header Record (Test/Production Indicator, set to “T”)
- 14 Subsequent Reports with the following:
  - At least three (3) SROI MTC UR Transactions with no errors (TAs) when payments exist
  - 9 SROI/IP are accepted
  - 1 SROI/AP is accepted
  - 1 SROI EP (Employer Paid)
- Trailer Record

### **Second Batch of SROIs**

- Header Record (Test/Production Indicator, set to “T”)
- 5 Subsequent Reports with the following:
  - 2 SROI/02 change on previously accepted SROI IP
  - 1 SROI/04 denial on previously accepted SROI IP
  - 1 SROI/SA on previously accepted SROI IP
  - 1 SROI/ PY on previously accepted SROI IP
- Trailer Record

### **Third Batch of SROIs**

- Header Record (Test/Production Indicator, set to “T”)
- One Subsequent Report with the following:
  - 1 SROI/FN is accepted
- Trailer Record

If the claim administrator has not received an acknowledgement to the business content test file within three days following the date it sent the file, contact the IWCC EDI Test Coordinator at [IWCC-EDICoordinator@Ebix.com](mailto:IWCC-EDICoordinator@Ebix.com) to determine the test file status.