NCRB-NCRF-NCIGA

north carolina
RATE BUREAU
REINSURANCE FACILITY
INSURANCE GUARANTY ASSOCIATION

ManagePolicy User Guide

Version 1.4– last updated on February 24, 2016

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If at any time during these procedures you need assistance, you may contact the NCRB, NCRF and NCIGA Information Center at:

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Contents

Before You Start...

Welcome to the ManagePolicy web application! ManagePolicy allows you to view policy data, modify existing policies, and create new policies.

The application does not allow you to make changes to a policy directly. Changes must be made by creating and submitting *transactions* that are specifically defined for certain types of changes. The general procedure for creating or modifying a policy is as follows:

1. Create a transaction that either creates a new policy, or create one or more transactions that make the desired modifications to an existing policy (either directly, or through policy replacement).

2. Submit the transaction(s) for DCO processing. Transactions are submitted in a special data file called a Submission file (WCPOLS file).

3. Check the status of the Submission to determine if errors occurred in the submission.

If errors occur in the submission, you can create a transaction that corrects the errors and submit the transaction. The final result will be the successful processing of one or more transactions, and the policy creation or modification is accomplished.

By taking some time to review the first few pages of this user guide, you will be prepared to quickly learn how to use this powerful online tool. ManagePolicy was designed to be user-friendly and easy-to-use, but if you have problems, you can refer to this guide for help.

Now let's get started!

Web Browser Specifications

ManagePolicy was developed to specifically take advantage of features available within **Internet Explorer 9.0** or higher. Other browsers, such as Chrome, FireFox, Opera, and Netscape, are not supported at this time.

You can download the latest version of Internet Explorer, free of charge, at http://www.microsoft.com/windows/ie/downloads/default.mspx.

Cookies

ManagePolicy uses **session cookies** to remember important information as you move from page to page within the application. These session cookies reside in your browser's memory only as long as your browser session is active. In other words, when you close your web browser after using ManagePolicy, the session cookie is destroyed, thus protecting any data you entered while using ManagePolicy.

Note: Many web applications use **standard cookies** – a standard cookie is written to your hard drive and is used to remember you the next time you visit the application's web site. ManagePolicy uses session cookies, not standard cookies, so no data is written to your hard drive (unless you request to download a file).

Opening New Windows

Some pages in ManagePolicy open, or spawn, a new browser window when they are accessed. For example, when you print a report, you are spawning a new window. Remember to close the new window whenever you want to exit it and return to where you were in ManagePolicy.

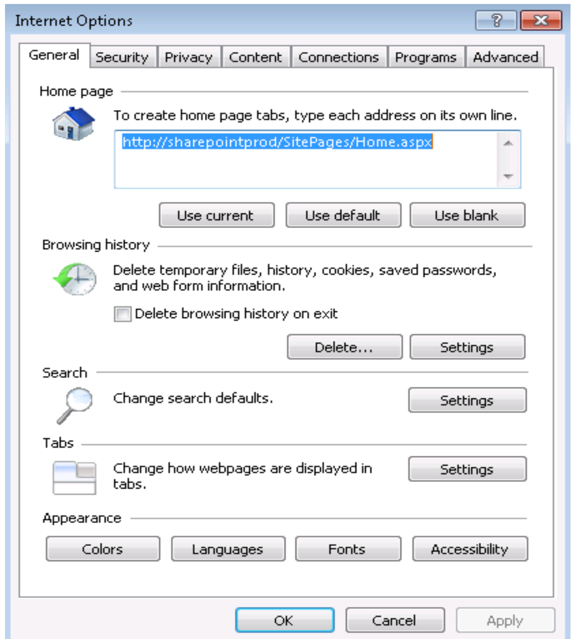
Configuring Your Pop-up Blocker

If you have a pop-up blocker installed, you will need to allow pop-ups from the NCRB Web site to properly use ManagePolicy.

To allow pop-ups from the NCRB Web site using Internet Explorer 9.0, follow these procedures:

Step 1. Open **Internet Explorer**. Click on the **Tools** icon in the top right corner. Select **Internet Options** from the Tools list. The *Internet Options* window displays.

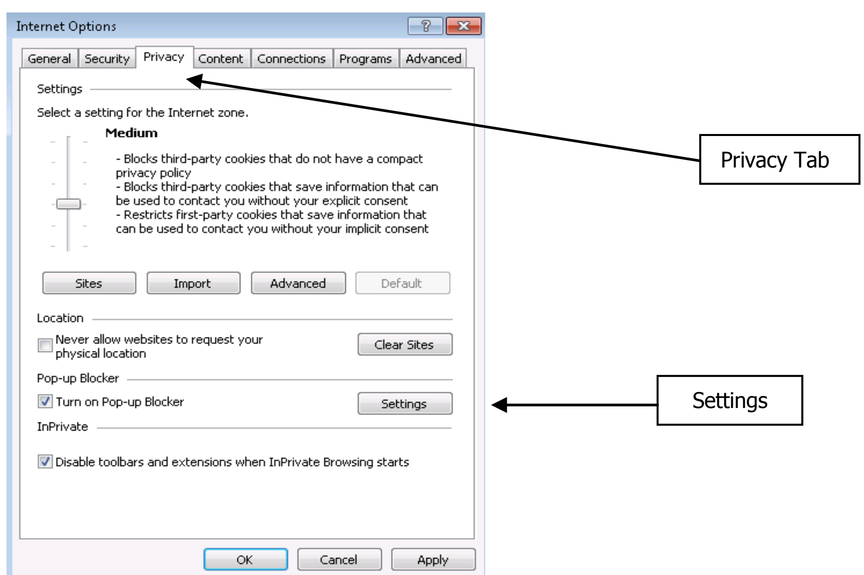
Figure 1: Internet Explorer 9.0 Internet Options window (based upon browser version, your view may look different)



Step 2. In the **Internet Options** window, select the **Privacy** tab. The *Privacy* tab information displays.

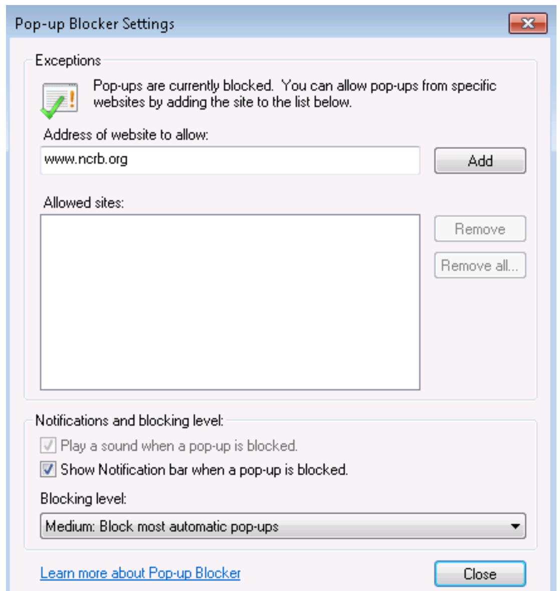
Step 3. On the **Privacy** tab, click the **Settings** button. The *Pop-up Blocker Settings* window displays.

Figure 2: Internet Options Privacy Tab (based upon browser version, your view may look different)



Step 4. On the **Pop-up Blocker Settings** window, type **www.ncrb.org** in the **Address of website to allow** field and click **Add.** The URL *www.ncrb.org* is added to the list of *Allowed sites*.

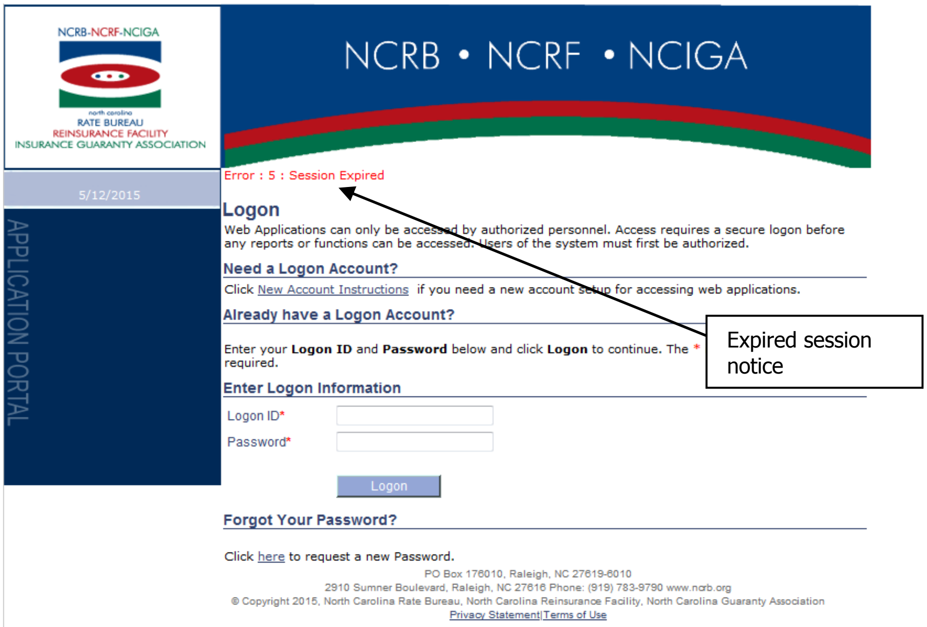
Figure 3: Pop-up Blocker Settings Window (based upon browser version, your view may look different)



Step 5. Click **Close** to close this window.

System Timeout

ManagePolicy times out after it has been inactive for more than twenty minutes. A message displays indicating that you must log into the system again.



PDF Documents

ManagePolicy supplies some forms and reports in PDF (**P**ortable **D**ocument **F**ormat) form. To read PDF documents, you must have a PDF reader, like Adobe Acrobat Reader™, installed on your computer.

Expired session notice

You can download Acrobat Reader free of charge at http://www.adobe.com.

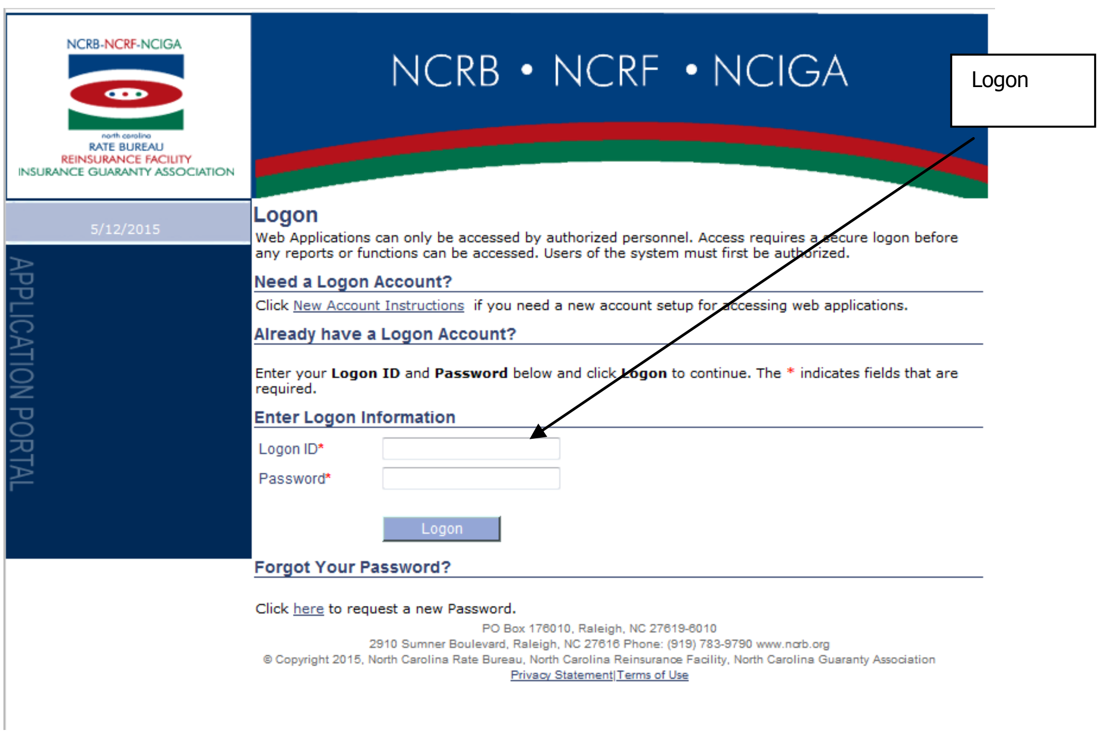
Accessing ManagePolicy

You will access ManagePolicy from the Secured Members Area of the NCRB, NCRF and NCIGA Web site. This section describes how to get to the Log On page, enter your credentials, and access ManagePolicy.

Logging into the Secured Members Area

The Secured Members Area, also known as the Member Services Portal, will provide access to all of the secured applications and data on the NCRB, NCRF and NCIGA Web site, so you must log on to the Secured Members Area before you can access ManagePolicy. To log in to the Secured Members Area, use the following procedure. (You must use the valid user name and password that were provided to you.)

1. On the NCRB Web site (http://www.ncrb.org), click the NCRB link and then click on Workers Comp Services link. Under the Member Services area, click the Logon to NCRB Portal link. The Secured Members Area Logon page displays.



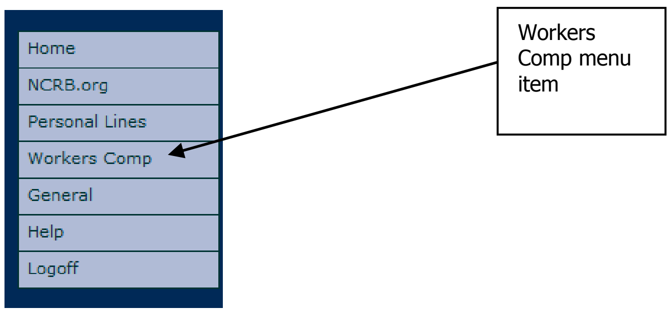
2. Enter your Logon ID and password. Click the Logon button. The Secured Members Area page displays.

Note: If you enter an incorrect user name or password, the system will return an error message to inform you of the invalid data. Re-enter your user name and password correctly, and click the Logon button to enter the system.

Launching an Application

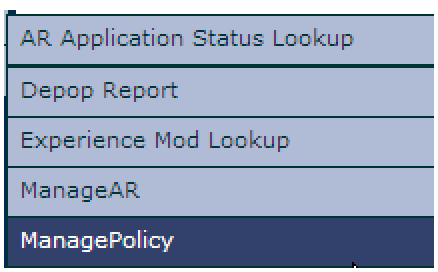
The Secured Members Area is the common place from which all secured applications are accessed on the NCRB, NCRF and NCIGA Web site. You will only see applications you have been authorized to access. All of the applications are categorized based upon the business unit that the application represents. To launch an application, follow these procedures:

1. On the left navigation menu, click Workers Comp.



2.

3. On the sub-menu, click ManagePolicy. The application page displays.

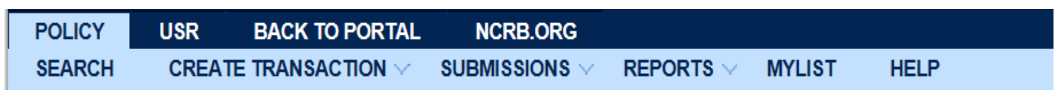


Navigating in ManagePolicy

ManagePolicy was designed with an intuitive user interface that makes it easy to create and submit transactions, check the status of submissions, and review and correct errors in submissions. This section provides an overview of the interface and explains some rules about navigating in ManagePolicy.

Menu Navigation

ManagePolicy features a menu bar that is displayed at the top of the application window. The menu bar is visible regardless of which page is currently displayed.



The menu choices are as follows:

- **Search**—Allows you to search for transactions and processed policies. You can specify the status of the transactions or policies you're searching for and define policy-specific filter criteria to narrow your search. From the search results, you can access transaction or policy details. Refer to "Searching for Policies and Transactions" for more information.

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

  - Create New Policy—Displays a new transaction screen with no associated policy data. Refer to "Creating Transactions" for more information.

  - Create Txn from Existing Policy—Displays a new transaction screen with policy data from the currently displayed transaction or policy. Depending on the transaction type, limited policy data might be copied. Refer to "Creating Transactions" for more information. This menu choice is only available while viewing an existing policy or transaction.

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

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

  - Search By Submission—Allows you to search for submitted submissions that came from ManagePolicy, or for processed submissions that came from either ManagePolicy or from another data source such as PEEP or CDX. For submitted submissions, the search results allow you to access details about the included transactions and download or view the Submission file. For processed submissions, the search results enable you to view details about the submission, access error reports, and, if the submission was created using ManagePolicy, you can download or view the Submission file.

- **Error Reports**—Allows you to search for errors across multiple submissions. For more information, refer to "Searching for Error Reports."

- **MyList**—Displays the MyList page, a personalized view of specific policy, transaction, and error records that you have identified. Refer to "MyList" for more information.

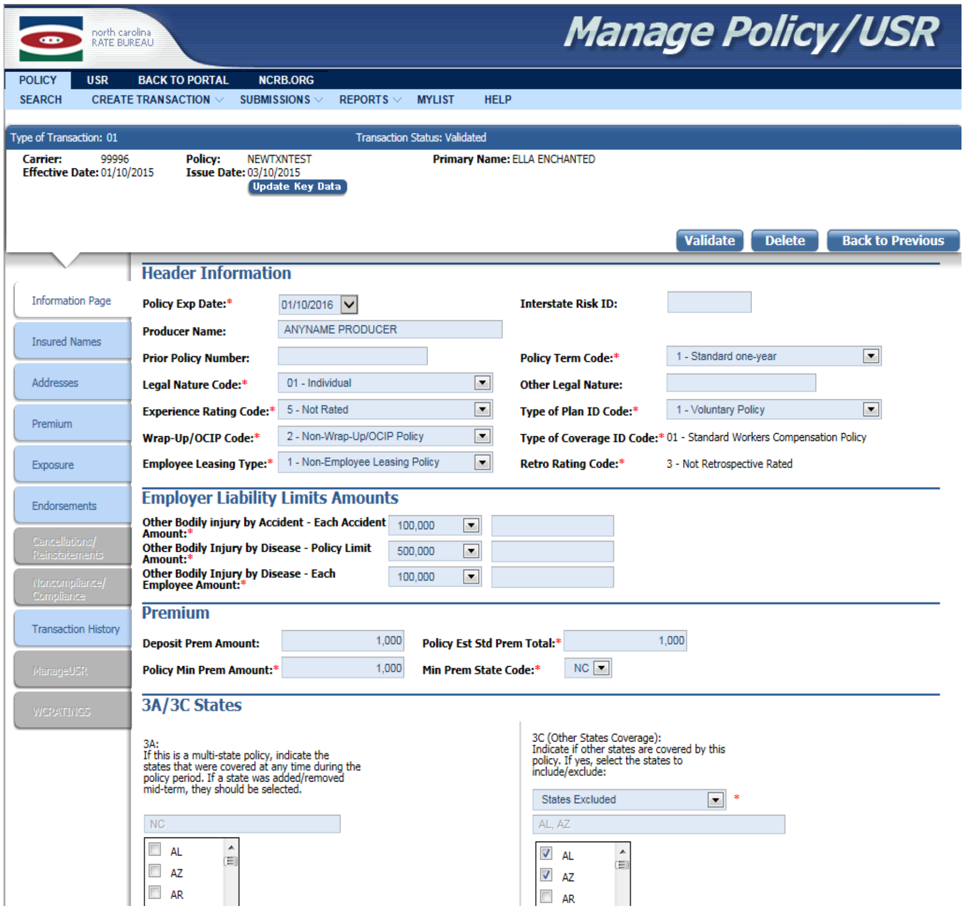
- **Back to Portal**—Displays the NCRB Portal Home page.

- **NCRB.ORG**—Displays the NCRB Web site Home page.

- **Help**—Displays the Help page, which includes the DCO Address, Contact Number, and Email Address; a link to the ManagePolicy User Guide, and a link to Frequently Asked Questions.

Detail Pages

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



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

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

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

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

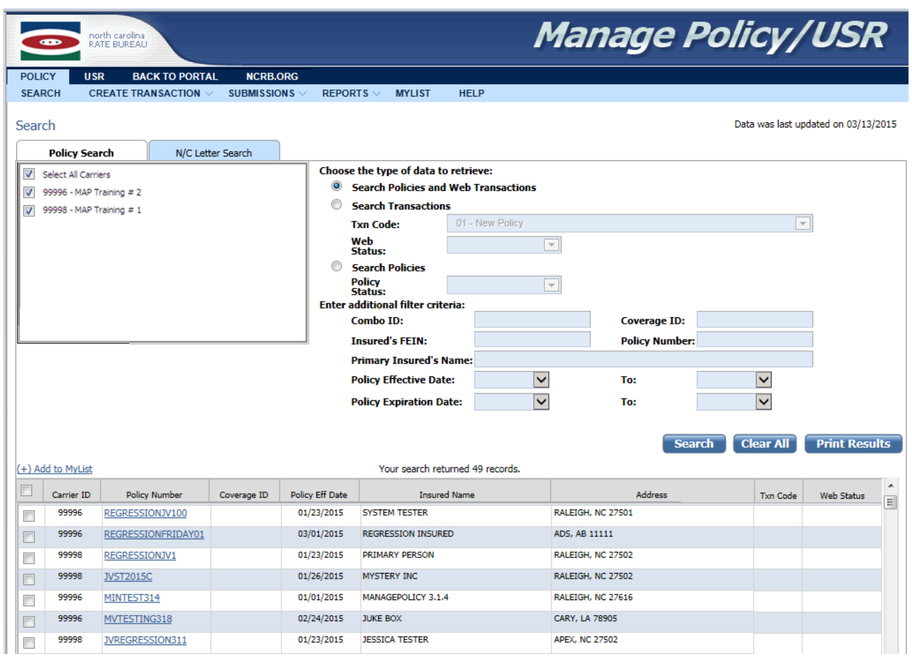
Searching for Policies and Transactions

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

Search Criteria

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

Note: When you search for policies, ManagePolicy will display the current view of the policy as it exists in the DCO's policy system. It will not reflect changes defined in any unprocessed transactions.



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

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

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

- **Search Policies and Web Transactions**—Both policy records and Web transaction records will be returned. (For policy records, only *processed* policies will be returned in the search results.)

- Search Transactions—Only Web transaction records will be returned, with the following additional filters.

    - **Txn Code**—Only records with the specified Transaction Code will be returned in the search results. To search for all Transaction Codes, select the blank option from the dropdown list. (Refer to “Creating Transactions” for Transaction Code definitions.)

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

      Web Status is one of the following:

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

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

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

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

- **Search Policies**—The search returns only policy records, with the following additional filter.

    - **Policy Status**—Only records with the specified Policy Status will be returned in the search results. To search for all Policy Statuses, select the blank option from the dropdown list. (Refer to Appendix A for Policy Status definitions.)

You can also specify additional filter criteria:

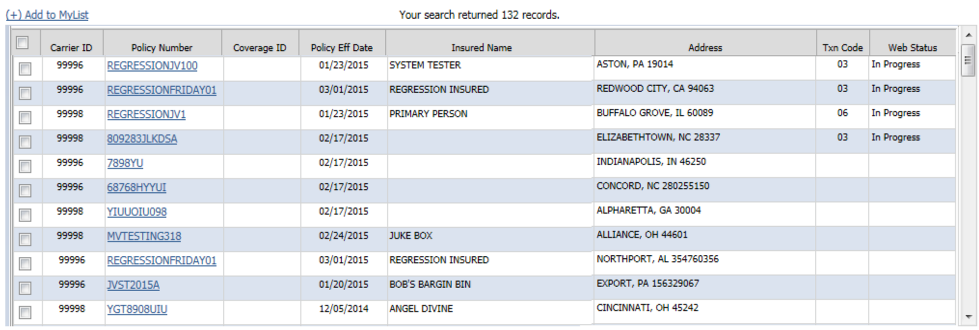
- **Combo ID**—The search returns only records where the Combo ID matches or begins with the value you enter. If you enter less than seven characters, the application adds zeros to the beginning of your entry.
- **Coverage ID**—The search returns only records where the Coverage ID matches or begins with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

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

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

Search Results

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


(+) Add to MyList

Your search returned 132 records.

	Carrier ID	Policy Number	Coverage ID	Policy Eff Date	Insured Name	Address	Txn Code	Web Status
	99996	REGRESSIONJV100		01/23/2015	SYSTEM TESTER	ASTON, PA 19014	03	In Progress
	99996	REGRESSIONFRIDAY01		03/01/2015	REGRESSION INSURED	REDWOOD CITY, CA 94063	03	In Progress
	99998	REGRESSIONJV1		01/23/2015	PRIMARY PERSON	BUFFALO GROVE, IL 60089	06	In Progress
	99998	809283JLKDSA		02/17/2015		ELIZABETHTOWN, NC 28337	03	In Progress
	99996	7898YU		02/17/2015		INDIANAPOLIS, IN 46250		
	99996	68768HYYUI		02/17/2015		CONCORD, NC 280255150		
	99998	YIUUOIU098		02/17/2015		ALPHARETTA, GA 30004		
	99998	MVTESTING318		02/24/2015	JUKE BOX	ALLIANCE, OH 44601		
	99996	REGRESSIONFRIDAY01		03/01/2015	REGRESSION INSURED	NORTHPORT, AL 354760356		
	99996	JVST2015A		01/20/2015	BOB'S BARGIN BIN	EXPORT, PA 156329067		
	99998	YGT8908UIU		12/05/2014	ANGEL DIVINE	CINCINNATI, OH 45242		

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

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

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

Printing and Exporting Search Results

The Search page enables you to print search results or export them to a variety of formats, including an Excel spreadsheet or PDF file.

With the desired results displayed, click the Print Results button. A preview window will appear, displaying a Print button and an Export link. If you click the Print button, the results are sent to the printer. If want to export the results, select the desired format and click Export. You will be prompted to specify filename, and location to which the results will be exported.

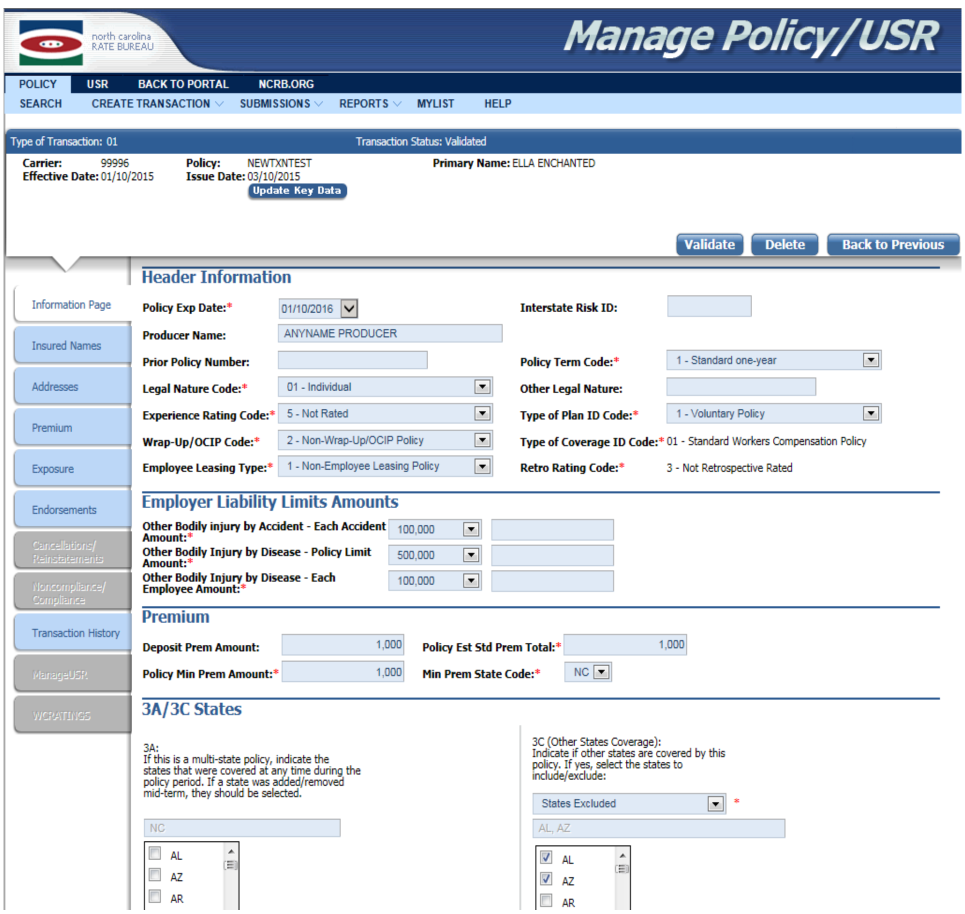
Viewing and Editing Transaction Data

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

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

Transaction Details

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



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

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

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

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

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

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

All transactions have one of the following Web Statuses:

- In Progress—The transaction has some or all data entered, but it has not been validated. (An In Progress transaction cannot be used as the basis for creating a new transaction.)

- Validated—The transaction has been validated and is ready to be submitted. (A Validated transaction can be used as the basis for creating a new transaction.)

- Submitted—The transaction has been submitted for DCO processing but has not been processed yet.

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

If, when you click the Validate button, all field values pass validation, the transaction is saved with a Web Status of Validated and a message appears indicating that the transaction data is ready to be added to the WCPOLS file.

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

Note: After a transaction is validated, it must be submitted in order for the policy creation or policy change to take effect. ManagePolicy enables you to create a

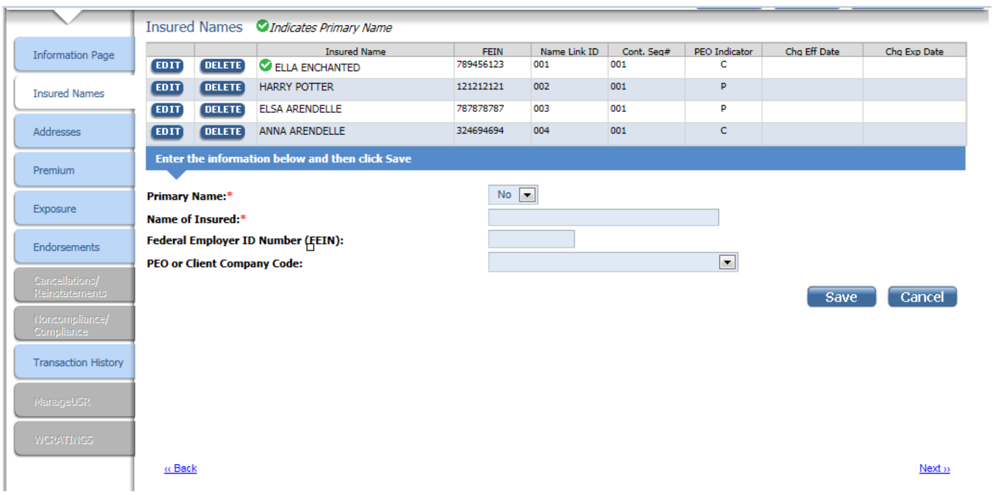
Submission file that includes the transaction and submit it for DCO processing. For details, refer to “Submitting Transactions for DCO Processing.”

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

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

Multi-record Tabs

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



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

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

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

Adding a Record

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

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

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

Editing a Record

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

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

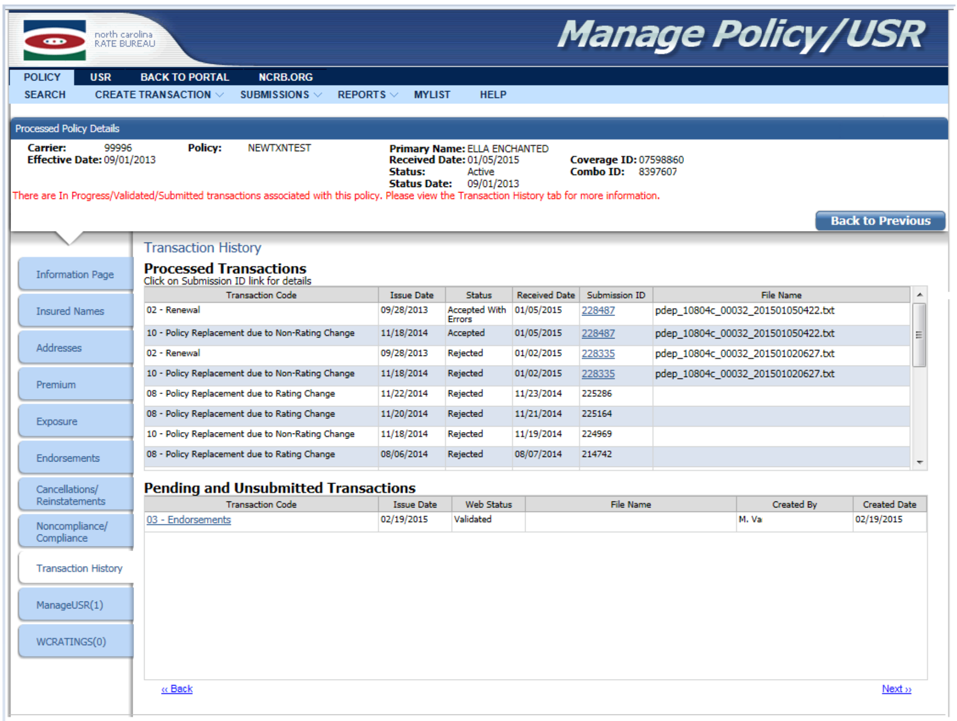
If you want to cancel the changes you have made to the record, click the Cancel button.

Deleting a Record

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

Transaction History

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



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Processed Transactions

The Processed Transactions grid lists all transactions that have been processed by the Bureau. This screen lists all transactions received for this policy. Rejected transactions are not applied to the policy. The accepted and accepted with errors transactions provide a record of changes that have already been applied to the policy.

If the submission is within the past 6 months you can click a Submission ID to see details about the submission that included the transaction. The View Processed Submissions page will appear, with the grid displaying only the submission you clicked. (You can then expand the submission record to access details about the included transactions.)

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

Unprocessed Transactions

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

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

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

Viewing Processed Policy Data

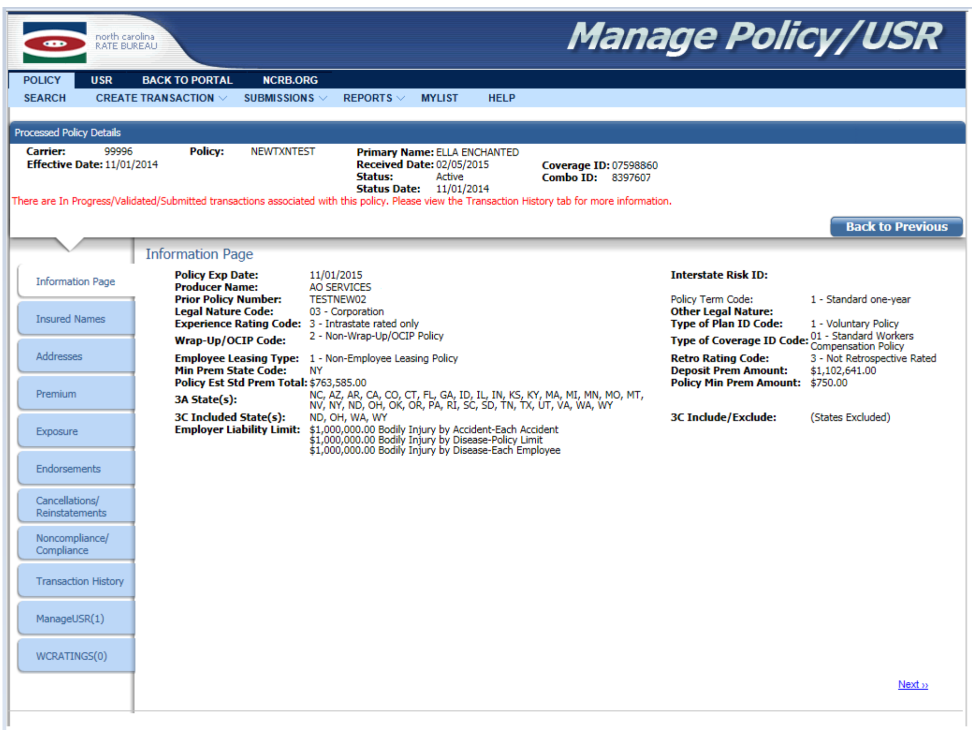
ManagePolicy enables you to view processed policies, but you cannot make changes to a policy directly. Changes must be made by creating and submitting a transaction for each type of change you need to make.

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

Policy Details

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

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

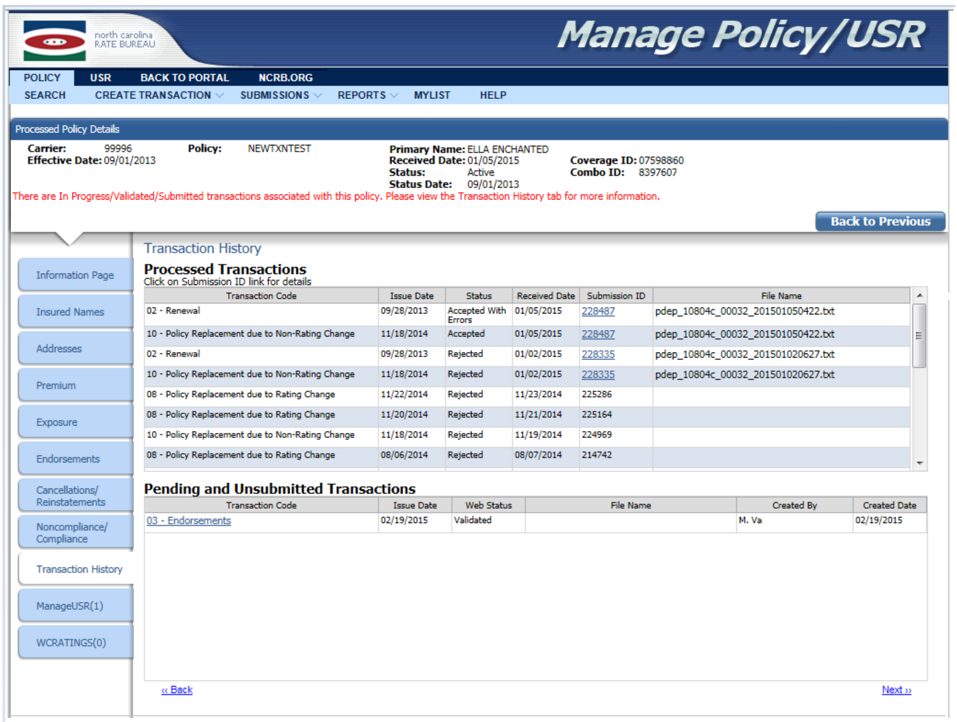


At the top of the page is the Policy Header, which displays Policy Key Data (Carrier, Policy Number, and Effective Date) and other details about the process policy.

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

Transaction History

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



Processed Transactions

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

If the submission is within the past 6 months you can click a Submission ID to see details about the submission that included the transaction. The View Processed Submissions page will appear, with the grid displaying only the submission you clicked. (You can then expand the submission record to access details about the included transactions.)

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

Unprocessed Transactions

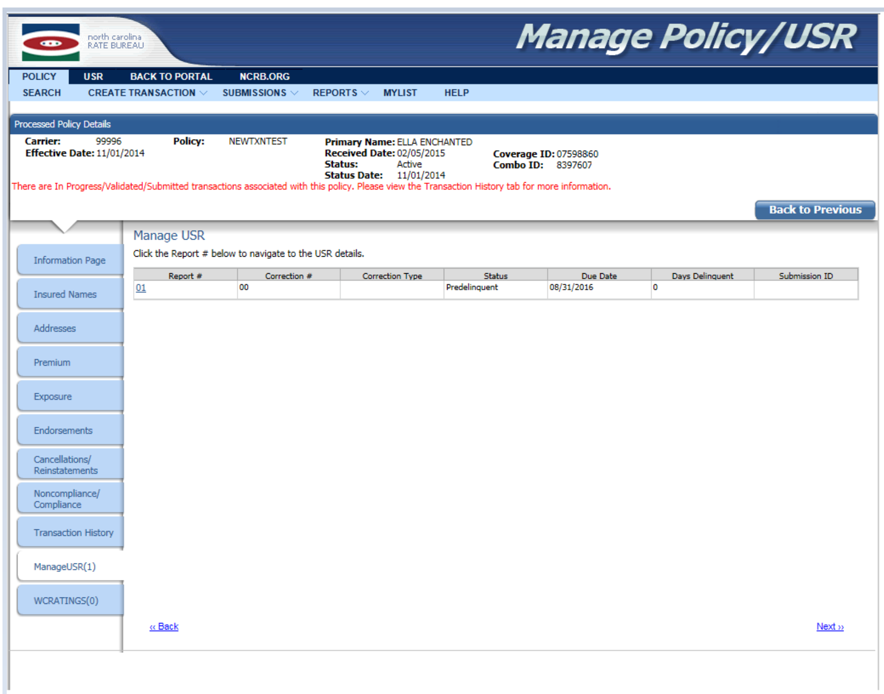
The Unprocessed Transactions grid lists all In Progress, Validated, and Submitted transactions. You can edit In Progress transactions and Validated transactions, but Submitted transactions are read-only.

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

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

Unit Statistical Data

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



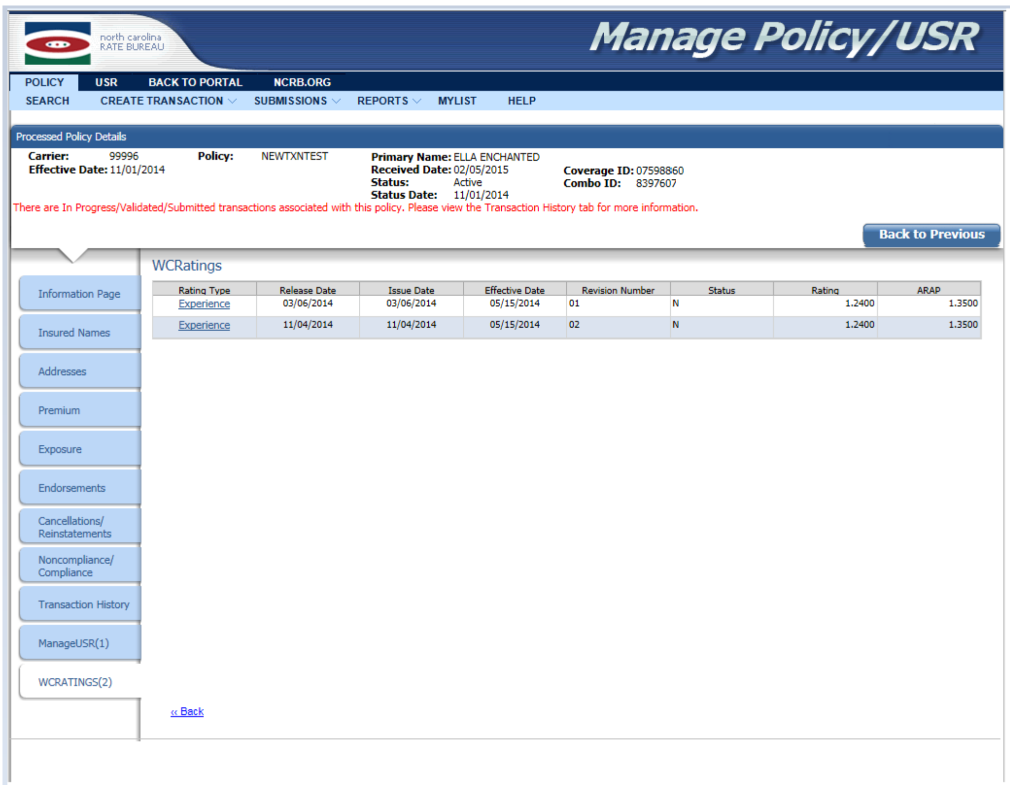
Note: The ManageUSR tab displays the number of unit statistical data records in parenthesis. For example, if the tab is labeled ManageUSR (2), that indicates that there are two records in the gird.

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

If you have permission to the ManageUSR web application, this tab displays a link to the application. When you click the Report # hyperlink, you will navigate away from ManagePolicy, to the ManageUSR web application. The application opens in the context of the policy you are working with, displaying search results for the Carrier ID, Policy Number, and Policy Effective Date.

Experience Ratings

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



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

The grid displays only the most current rating for the policy and policy period. If there are ratings for multiple effective dates, the grid will display the most current rating for each effective date associated with the policy.

In each row, the value in the Type column is a link to a PDF file containing the rating worksheet, DNQ letter, or Withdrawal letter.

Creating Transactions

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

The Transaction Codes are defined in the following table.

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

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

Transaction Code	Description
10 – Policy Replacement due to NonRating Change	Replaces the existing policy or applies changes to the policy as of the policy changes effective date thru the policy changes expiration date , due to changes in any aspect of the policy except changes in Policy Key Data fields (Carrier Code, Policy ID Number, and Policy Effective Date) and rating changes.
14 – Policy Replacement due to Misc Change	Replaces the existing policy or applies changes to the policy as of the policy changes effective date thru the policy changes expiration date, due to any change to the policy except changes in Policy Key Data fields (Carrier Code, Policy ID Number, and Policy Effective Date). A replacement due to miscellaneous changes can be also used for ratings and non-rating changes.
15 – New Policy Txn Adding NC Mid-Term 15 – Policy Replacement to Add/Delete States to Existing NC Policy	Results in the creation of a new policy that is not replacing an existing policy. This transaction should be used to create a policy that has included NC on the policy after the policy effective date. Replaces the existing policy or applies changes to the policy as of the policy changes effective date thru the policy changes expiration date , due to inclusion or exclusion of states in the list of states that are covered by the policy.
17 – Noncompliance/Compliance	Notifies the DCO that the insured has either not met or has rectified a former failure to meet the provisions of the policy.

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

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

Create New Policy

01 – New Policy
02 – Renewal Policy
15 – New Policy Txn Adding NC Mid-Term

Create Txn from Existing Policy

01 – New Policy
02 – Renewal Policy
03 – Endorsement
04 – Annual Rerate Endorsement
05 – Cancellation
05 – Reinstatement

06 – Policy Replacement due to Key Change
08 – Policy Replacement due to Rating Change
10 – Policy Replacement due to NonRating Change
14 – Policy Replacement due to Misc Change
15 – Policy Replacement to Add/Delete States to Existing NC Policy
17 – Noncompliance/Compliance

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

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

Transaction Code 01 – New Policy

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

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

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

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

To create a new transaction, perform the following steps:

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

   OR

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

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

2. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatements, Noncompliance, ManageUSR, and WCRatings.

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

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

Transaction Code 02 – Renewal Policy

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

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

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

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

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

To create a new transaction, perform the following steps:

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

   OR

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

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

2. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatements, Noncompliance, ManageUSR, and WCRatings.

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

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

Transaction Code 03 – Individual Endorsement Records

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

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

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

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

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

To create a new transaction, perform the following steps:

1. View a valid Validated transaction (as listed above).

2. Select Create Transaction > Create Txn from Existing Policy > 03 – Endorsement.

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

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

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

   Access the Endorsements tab and add one or more endorsements. Each endorsement you add must contain variable or extension data.

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

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

Transaction Code 04 – Annual Rerate Period Data

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

To create an 04 Transaction, you must be viewing a processed policy or viewing a Validated transaction with one of the following Transaction Codes, and the policy or transaction Policy Term Code must be 5 - Three Year Variable or 8 - Other.

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

If you are viewing a transaction without one of the Transaction Codes listed above, or if the policy or transaction does not have Policy term Code set to 5 - Three Year Variable or 8 – Other, the 04 Transaction Code will not appear in the Create Txn from Existing Policy menu.

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

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

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

To create a new transaction, perform the following steps:

1. View a processed policy or a valid Validated transaction (as listed above).

2. Select Create Transaction > Create Txn from Existing Policy > 04 – Annual Rerate Endorsement. A dialog box prompts you to specify which period is to be rerated.

   Note: If you are viewing a policy or transaction that does not have a WC000405 endorsement (or if the endorsement does not have a period 2 or 3 specified), you will be warned of this and prompted to add a WC000405 endorsement (or add the missing endorsement period information). If you answer Yes to the prompt, a dialog box appears allowing you to enter details for the WC000405 endorsement and save it. If you answer No to the prompt, the transaction creation will be canceled.

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

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

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

4. The Transaction Detail page appears. All tabs are enabled except Cancellations/Reinstatement, Noncompliance/Compliance, ManageUSR, and WCRatings.

5. Enter the Policy Estimated Standard Premium Total; add, modify or remove state premium records; and add, modify or remove exposure records.

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

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

Transaction Code 05 – Cancellation/Reinstatement

Transaction Code 05 is used to end or restart coverage provided by a policy, resulting in either the cancellation of an Active policy or the reinstatement of a Cancelled policy. Transaction Code 05 is also used when NC is removed from a policy mid-term or for the entire policy term.

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

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

Cancellation

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

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

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

To create a new transaction, perform the following steps:

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

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

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

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

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

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

Reinstatement

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

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

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

To create a new transaction, perform the following steps:

1. View a processed policy or valid Validated transaction (as defined above).

2. Select Create Transaction > Create Txn from Existing Policy > 05 – Reinstatement.

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

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

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

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

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

Transaction Code 06 – Policy Replacement due to Key Change

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

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

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

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

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

To create a new transaction, perform the following steps:

1. View a processed policy or a Validated transaction (as listed above).

2. Select Create Transaction > Create Txn from Existing Policy > 06- Policy Replacement due to Key Change.

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

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

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

If you answer Yes to the prompt, the Key Data dialog for a new 05 Cancelation transaction appears. After you save the Key Data for the 05 Cancelation transaction, ManagePolicy returns you to the 06 transaction. Remember that you must submit the required 05 Cancelation transaction along with the 06 transaction in order for the 06 transaction to be successfully processed.

3. The Transaction Detail page for the 06 transaction appears. All tabs are enabled except Cancellations/Reinstatements, Noncompliance/Compliance, ManageUSR, and WCRatings.

   On the Information tab, change editable fields as needed.

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

Transaction Code 08 – Policy Replacement due to Rating Change

Transaction Code 08 is used to replace an existing policy or apply changes as of the policy changes effective date thru the policy changes expiration date, due to changes in any aspect of the policy that pertains to or results in a change to the premium.

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

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

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

To create a new transaction, perform the following steps:

1. View a processed policy or a valid Validated transaction (as listed above).

2. Select Create Transaction > Create Txn from Existing Policy > 08 - Policy Replacement due to Rating Change.

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

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

3. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatements, Noncompliance/Compliance, ManageUSR, and WCRatings.

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

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

Transaction Code 10 – Policy Replacement due to NonRating Change

Transaction Code 10 is used to replace an existing policy or apply changes as of the policy changes effective date thru the policy changes expiration date, due to changes in any aspect of the policy other than Policy Key Data changes and rating changes.

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

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

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

To create a new transaction, perform the following steps:

1. View a processed policy or a valid Validated transaction (as listed above).

2. Select Create Transaction > Create Txn from Existing Policy > 10 - Policy Replacement due to NonRating Change.

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

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

3. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatement, Noncompliance/Compliance, ManageUSR, and WCRatings.

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

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

Transaction Code 14 – Policy Replacement due to Misc Change

Transaction Code 14 is used to replace an existing policy or apply changes as of the policy changes effective date thru the policy changes expiration date, due to any changes to the policy except changes in Policy Key Data fields (Carrier Code, Policy ID Number, and Policy Effective Date). A replacement due to miscellaneous changes can be also used for ratings and non-rating changes

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

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

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

To create a new transaction, perform the following steps:

1. View a processed policy or a valid Validated transaction (as listed above).

2. Select Create Transaction > Create Txn from Existing Policy > 14 - Policy Replacement due to Misc Change.

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

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

3. The Transaction Detail page appears. Four tabs are disabled: Cancellations/Reinstatements, Noncompliance/Compliance
   On each of the available tabs, enter the required information. Refer to “Modifying Policy Data” for details about each tab.

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

Transaction Code 15 – New Policy Txn Adding NC Mid-term

Transaction Code 15 is used to create a new policy that is not replacing an existing policy but reporting NC exposure for the first time, This transaction is used to create a policy that has included or added NC to a policy after the policy effective date.

The only way to create this type of transaction is from scratch and cannot be created from viewing a processed policy.

To create a new transaction, perform the following steps:

1. Select Create Transaction > Create New Policy > 15 - New Policy Txn Adding NC Mid-Term

2. The Transaction Detail page appears.

   All tabs are enabled except Cancellations/Reinstatements, Noncompliance/Compliance, ManageUSR, and WCRatings.

3. On the Information tab, add or remove states from the list.

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

5. If you have entered all required data on each editable tab, click the Validate button to validate the transaction data. Alternatively, you can return to the

transaction later; the transaction will have a status of In Progress, retaining all the data you have entered.

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

Transaction Code 15 is used to replace an existing policy or apply changes as of the policy changes effective date thru the policy changes expiration date, due to inclusion or exclusion of states in the list of states covered by the policy.

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

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

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

Note: The method you choose for creating the transaction (Create New Policy or Create Txn from Existing Policy) will be preserved for the life of the transaction and can affect the kinds of changes that can be made to the transaction.

To create a new transaction, perform the following steps:

1. Select Create Transaction > Create Txn From Existing Policy > 15 – Policy Replacement to Add/Delete States to Existing NC Policy

   OR

   View a processed policy or a valid Validated transaction (as listed above) and select Create Transaction > Create Txn from Existing Policy > 15 - Policy Replacement to Add/Delete States to Existing NC Policy.

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

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

2. The Transaction Detail page appears.

   All tabs are enabled except Cancellations/Reinstatements, Noncompliance/Compliance, ManageUSR, and WCRatings.

3. On the Information tab, add or remove states from the list.

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

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

Transaction Code 17 – NonCompliance/Compliance

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

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

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

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

To create a new transaction, perform the following steps:

1. View a processed policy or a valid Validated transaction (as listed above).

2. Select Create Transaction > Create Txn from Existing Policy > 17 – Noncompliance/Compliance.

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

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

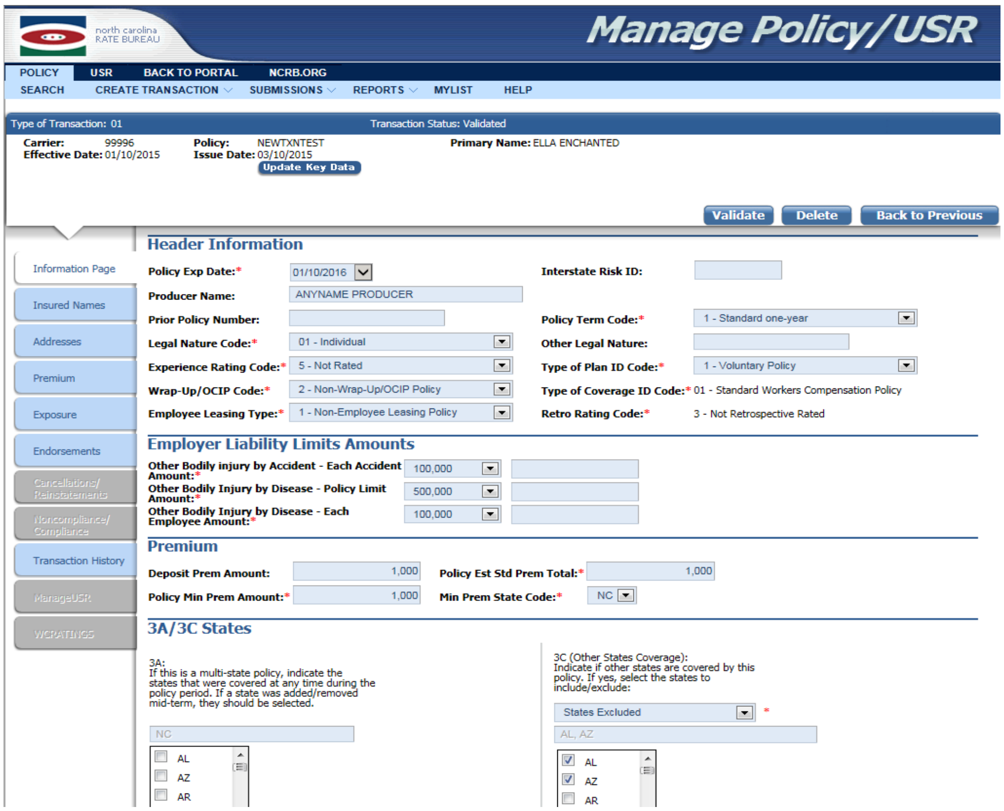
3. Transaction Detail page appears. Only the Noncompliance tab and the Transaction History tab are enabled. All other tabs are disabled.

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

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

Modifying Policy Data

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

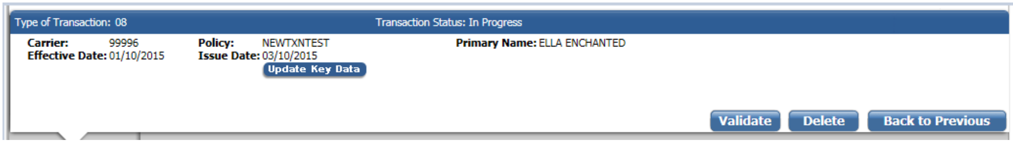


A number of tabs are displayed down the left side of the page, each corresponding to a different category of policy data. The Key Data dialog and all tabs that display editable policy data are described in this section.

Policy Key Data

Policy Key Data fields (Carrier, Policy Number, and Policy Effective Date) are fields that uniquely identify a policy. This information is also known as the Link Data.

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



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

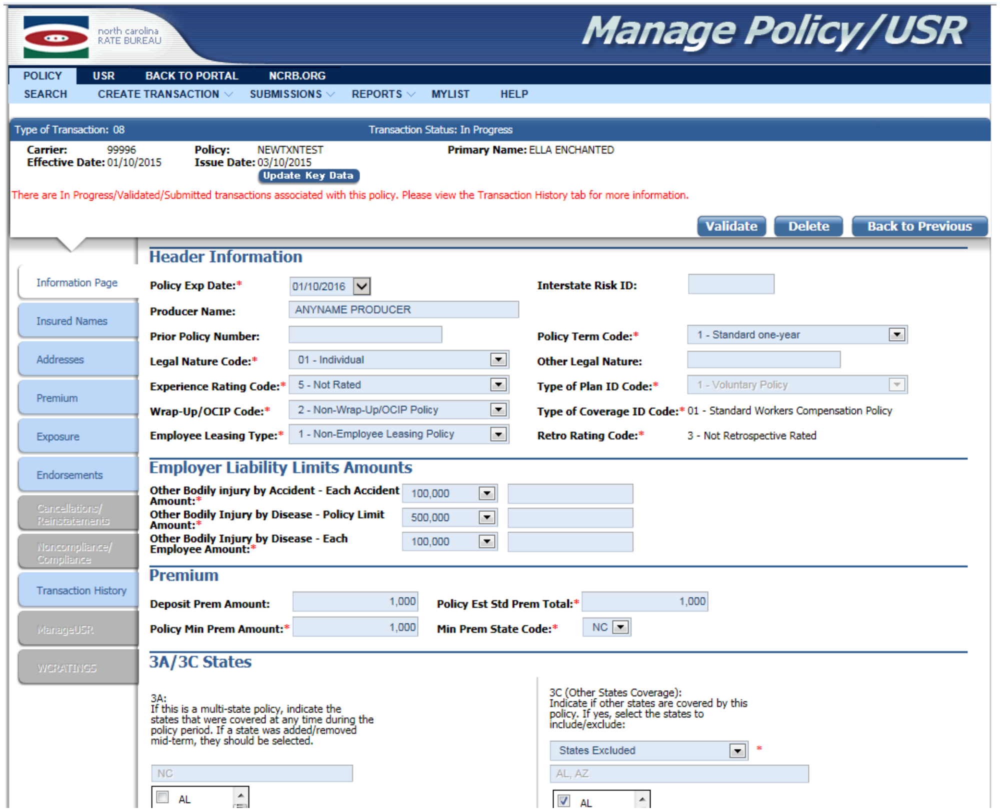
- 01 – New Policy
- 02 – Renewal Policy
- 06 – Policy Replacement due to Key Field Change
- 15 – New Policy Txn Adding NC Mid-Term

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

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

Information Page

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



For the following Transaction Codes, the entire Information Page tab is read-only:

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

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

- 01 – New Policy
- 02 – Renewal Policy
- 04 – Annual Rerate Period Data
- 06 – Policy Replacement due to Key Field Change
- 08 – Policy Replacement due to Rating Change

- 10 – Policy Replacement due to Non-Rating Change
- 14 – Policy Replacement due to Miscellaneous Change/Non-Key Field Change
- 15 – New Policy Txn Adding NC Mid-Term

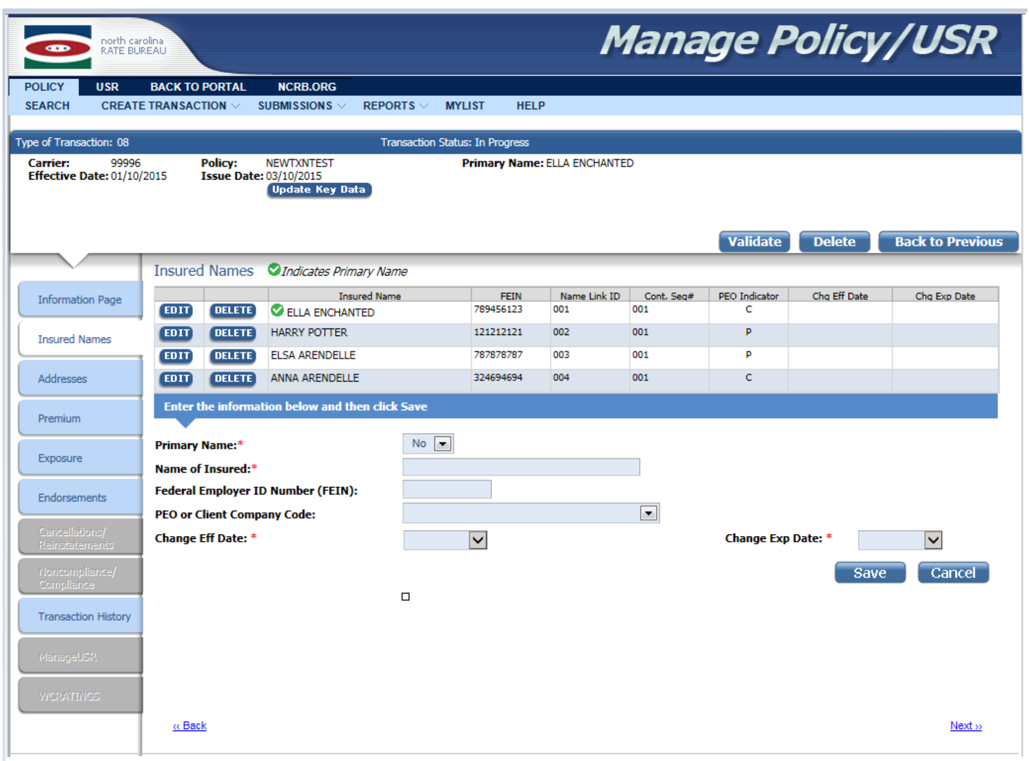
- 15 – Policy Replacement due to Add/Delete States to Existing NC policy

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

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

Insured Names

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



For the following Transaction Codes, you cannot add, edit, or delete Name records:

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

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

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

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

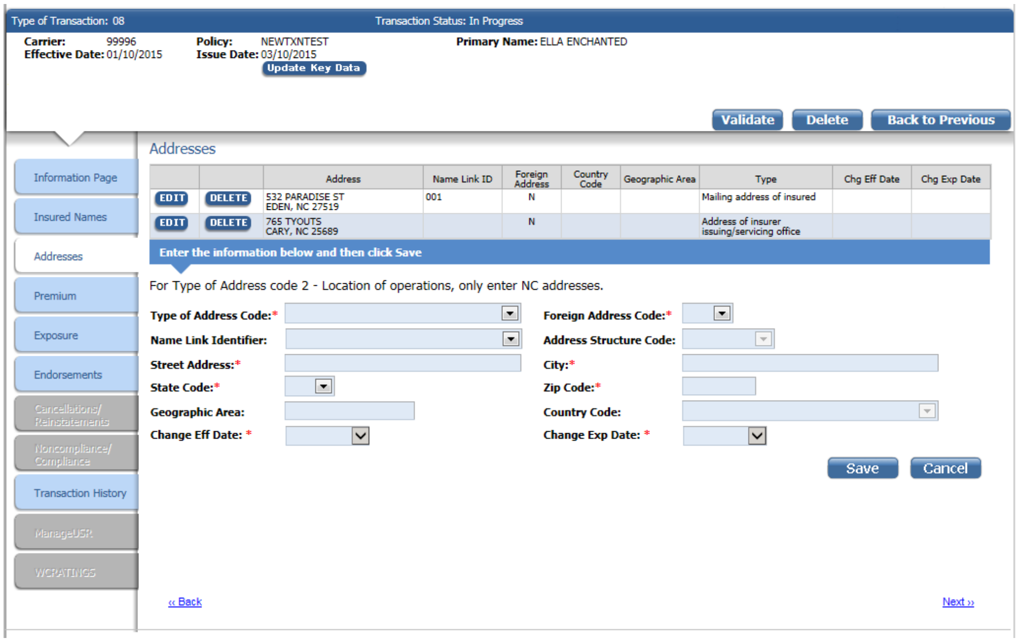
The field requirements (and in some cases, the fields that display) vary based on the Transaction Code. Such rules exist for various Transaction Codes, and are enforced by the application.

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

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

Addresses

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



For the following Transaction Codes, you cannot add, edit, or delete Address records:

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

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

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

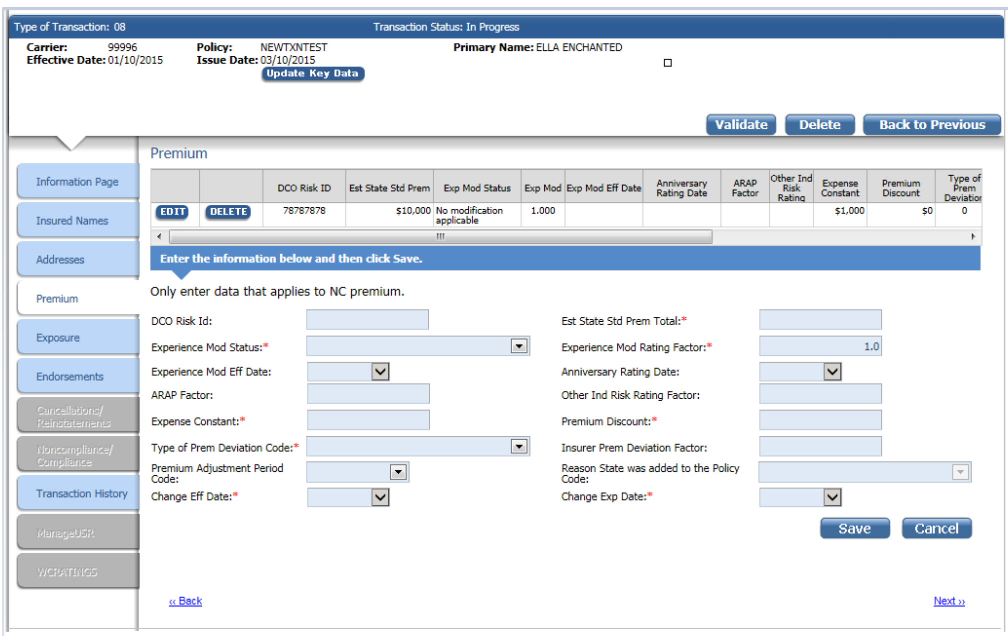
The fields requirements (and in some cases, the fields that display) vary based on the Transaction Code. Such rules exist for various Transaction Codes, and are enforced by the application.

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

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

Premium

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



For the following Transaction Codes, you cannot add, edit, or delete Premium records:

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

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

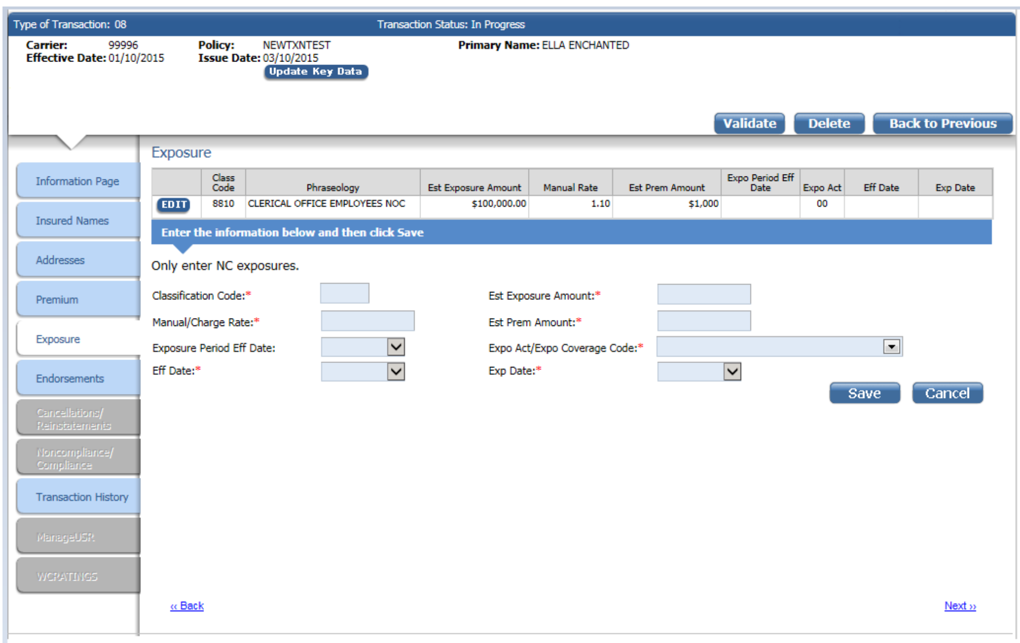
The Premium tab supports the creation of multiple records. For details about how to add, edit, and delete records, refer to “Multi-record Tabs” in the “Viewing and Editing Transaction Data” section.

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

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

Exposure

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



For the following Transaction Codes, you cannot add, edit, or delete Exposure records:

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

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

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

Note: Your policies require at least one exposure with a non-statistical classification code.

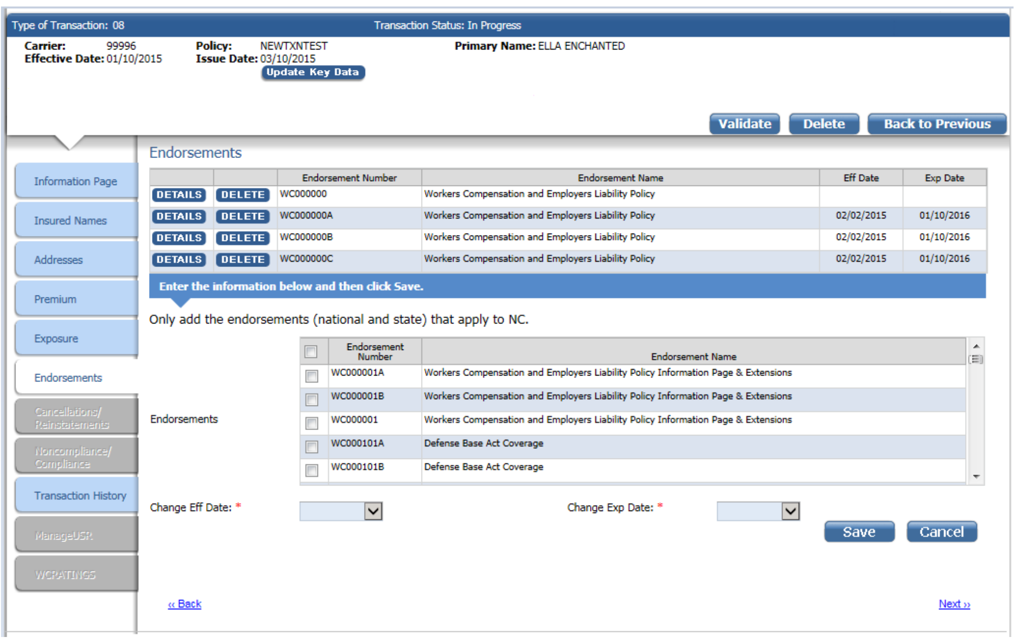
The Exposure tab supports the creation of multiple records. For details about how to add, edit, and delete records, refer to “Multi-record Tabs” in the “Viewing and Editing Transaction Data” section.

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

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

Endorsements

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



For the following Transaction Codes, you cannot add, edit, or delete endorsement records:

- 05 – Cancellation/Reinstatement
- 17 – Noncompliance or Compliance of Policy Terms and Conditions

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

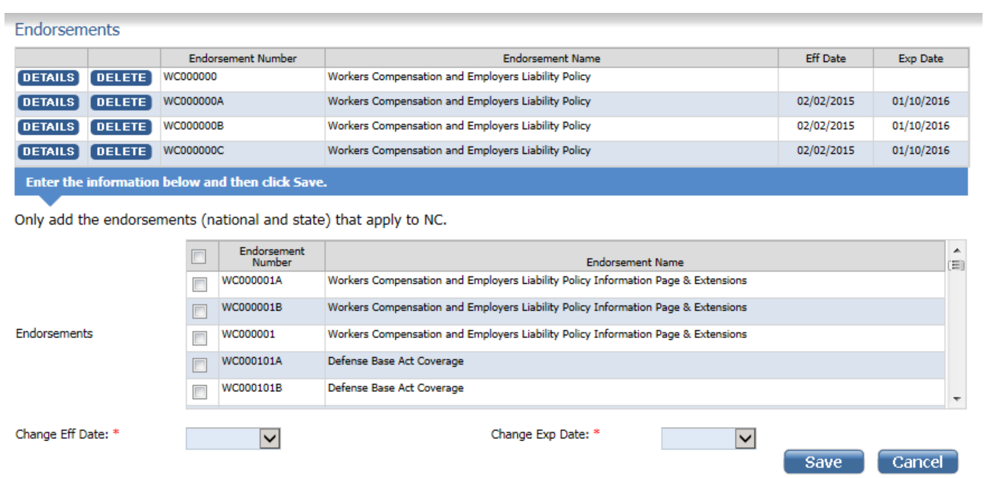
- For Transaction Code 03, only endorsement records added in the transaction are listed. (These records can be edited and deleted).
- For Transaction Code 03, you can only add endorsements with variable data.

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

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

Adding, Editing, and Deleting Endorsement Records

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

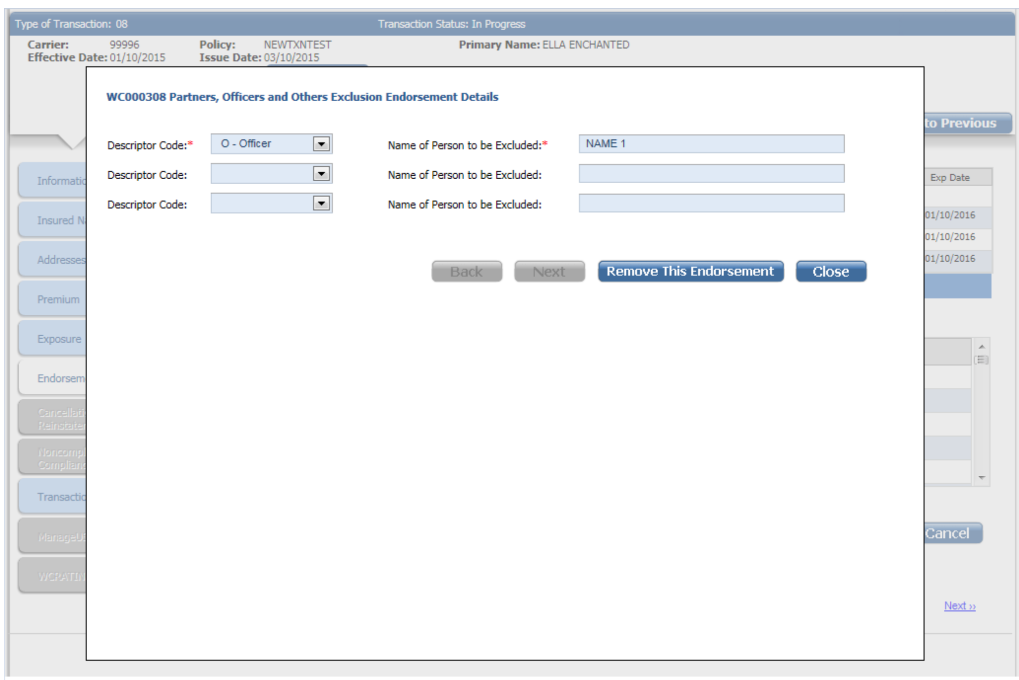


You can add one endorsement record or multiple records in a single operation. Select one or more endorsements in the Endorsements list by clicking the checkbox(es) in the list.

For each selected endorsement that contains variable data, you will be prompted to enter the data; within this popup you will enter the Change Effective and Change Expiration date for each endorsement, if applicable. For non-variable endorsements, you will not be prompted to enter additional data. If you need to enter a different Effective Date for different endorsements, you will need to select the first set of endorsements to add, enter the date in the Change Eff Date field and click Add. After the addition is complete, select the next set of endorsements to add, entering the different effective date of the endorsement in the Change Eff Date field and continue with the add process.After you have entered data for all the selected endorsements, a record appears in the grid for each endorsement you added.

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

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



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

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

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

Note: If an endorsement was submitted to the Bureau with multiple records then this endorsement will appear in the list of endorsements multiple times.

Cancellations/Reinstatements

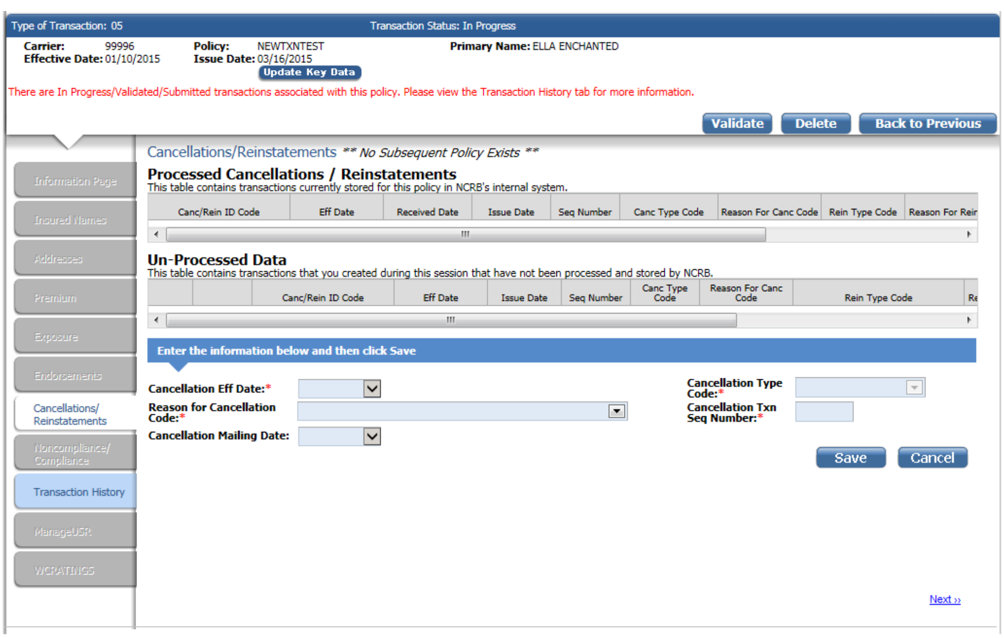
Cancellation/Reinstatement Transactions result in cancellation of an Active policy or the reinstatement of a Cancelled policy. When you create or edit a Transaction 05, the Cancellations/Reinstatements tab displays in either Cancellation mode or Reinstatement mode.

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

Cancellation

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

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



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

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

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

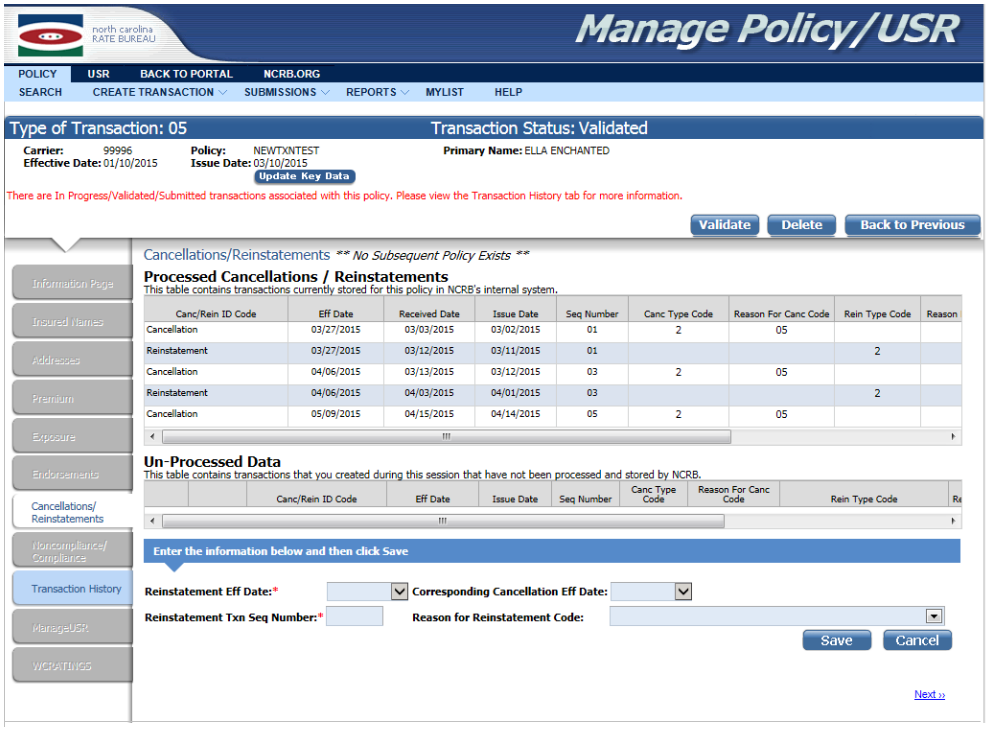
To delete a record, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

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

Reinstatement

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

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



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

Note: When you create a Reinstatement record, if no Cancellation record matches the specified Corresponding Cancellation Effective Date, you will be warned of this and prompted to continue.

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

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

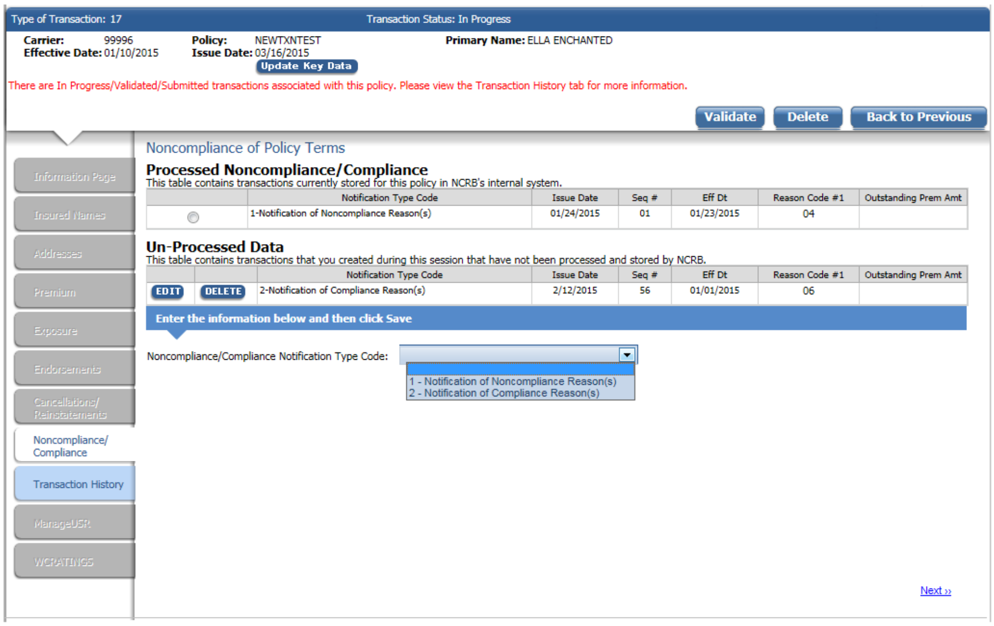
To delete a record, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

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

Noncompliance/Complaince

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

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



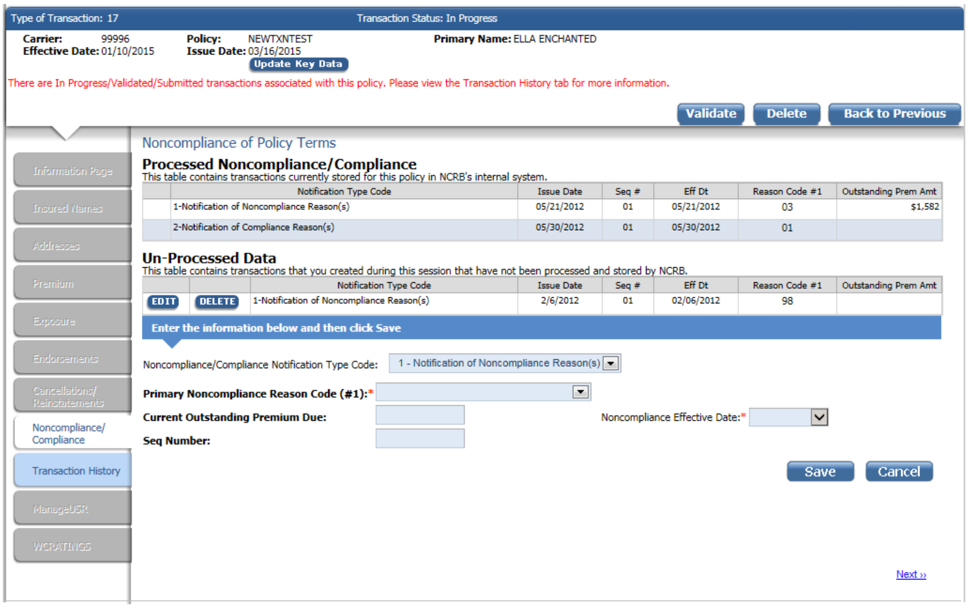
The Noncompliance tab displays differently based on the selection you make in the Noncompliance/Compliance Notification Type Code drop down box.

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

Noncompliance

In Noncompliance mode, you can add, edit and delete Noncompliance records.

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



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

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

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

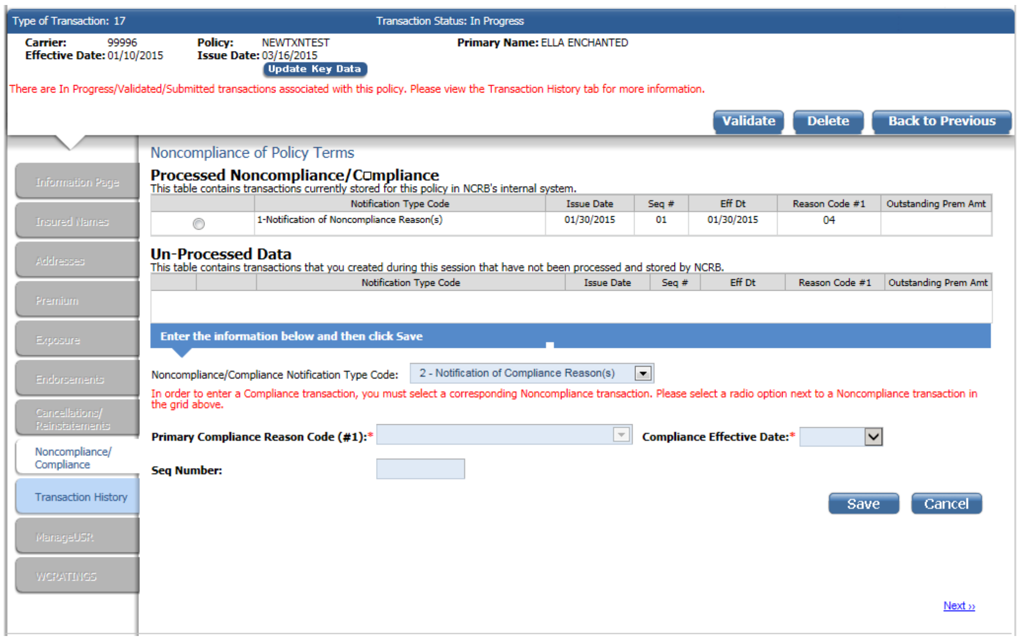
To delete a record, click the Delete button for that record in the grid. You will be prompted to verify the deletion, and then the record is deleted.

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

Compliance

In Compliance mode, you can add, edit and delete Compliance records.

The Noncompliance tab displays two grids. The first grid lists all processed Noncompliance/Compliance transactions associated with the policy. This data is read-only. The second data grid lists unprocessed Compliance and Noncompliance records associated ith this transaction.



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

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

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

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

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

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

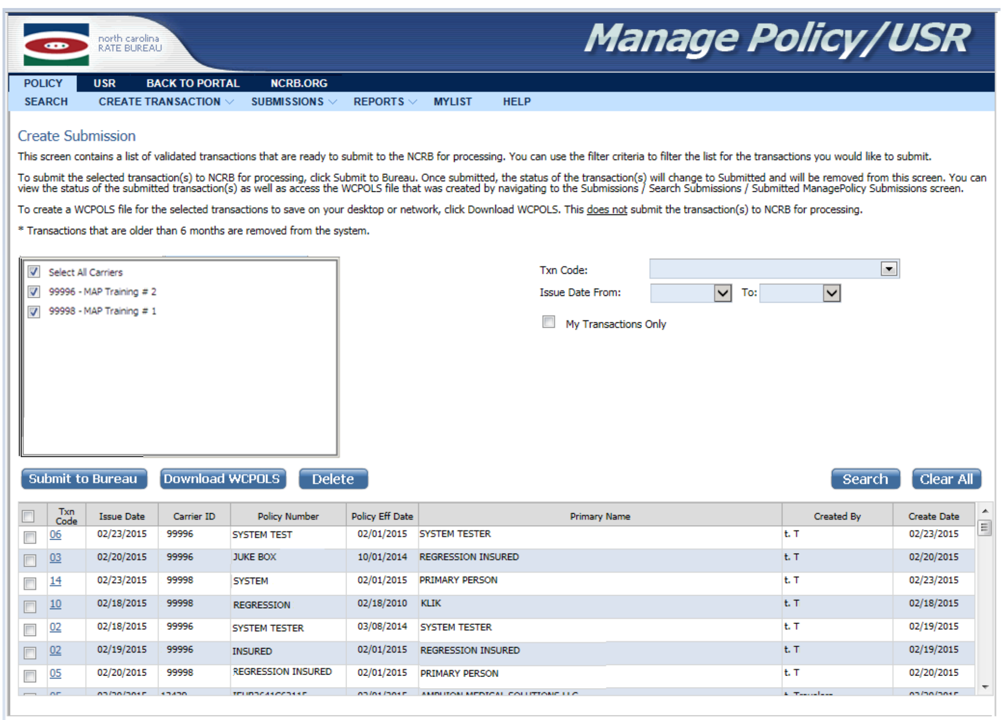
Submitting Transactions for DCO Processing

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

Searching for Validated Transactions

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

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



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

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

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

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

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

Submitting a Submission File

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

The Submission file is created for the selected transactions and the file is submitted for processing.

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

Downloading a Submission File

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

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

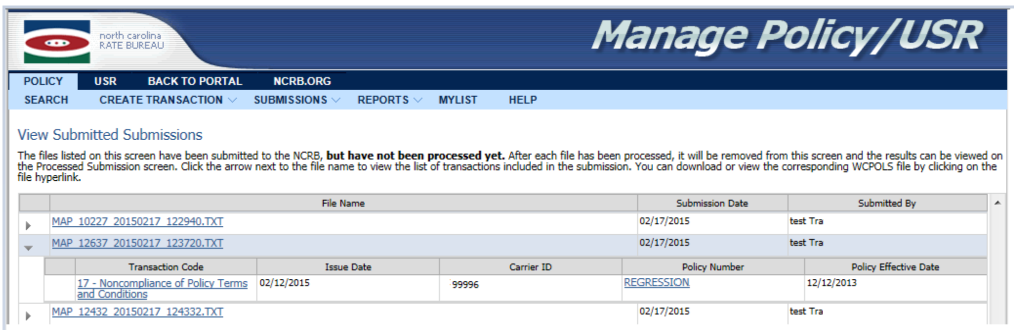
Viewing Status of Submitted Submissions

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

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

Note: The Submitted ManagePolicy Submissions option differentiates between submissions from ManagePolicy and those from CDX (a separate system). The search will return only submissions from ManagePolicy.

When you choose Submitted ManagePolicy Submissions, the following page appears.



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

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

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

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

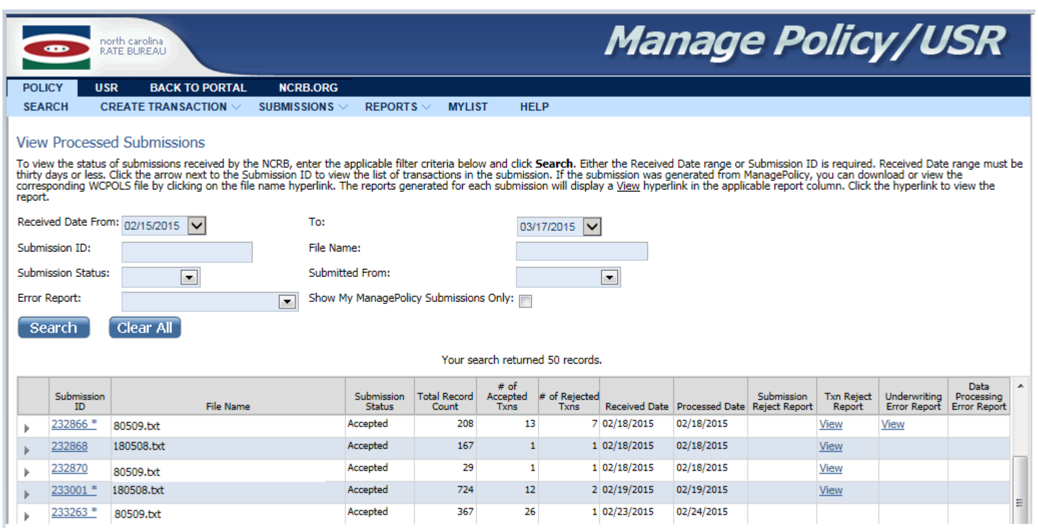
Viewing Processed Submissions

After a submission has been processed, you can check on the status of the submission in order to determine if it was rejected or accepted. ManagePolicy displays the status on all submissions received at the Bureau, including submissions received from other systems such as PEEP or CDX. ManagePolicy only displays details on submissions received within the previous six months.

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

Searching for Submissions

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



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

The available search fields are as follows:

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

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

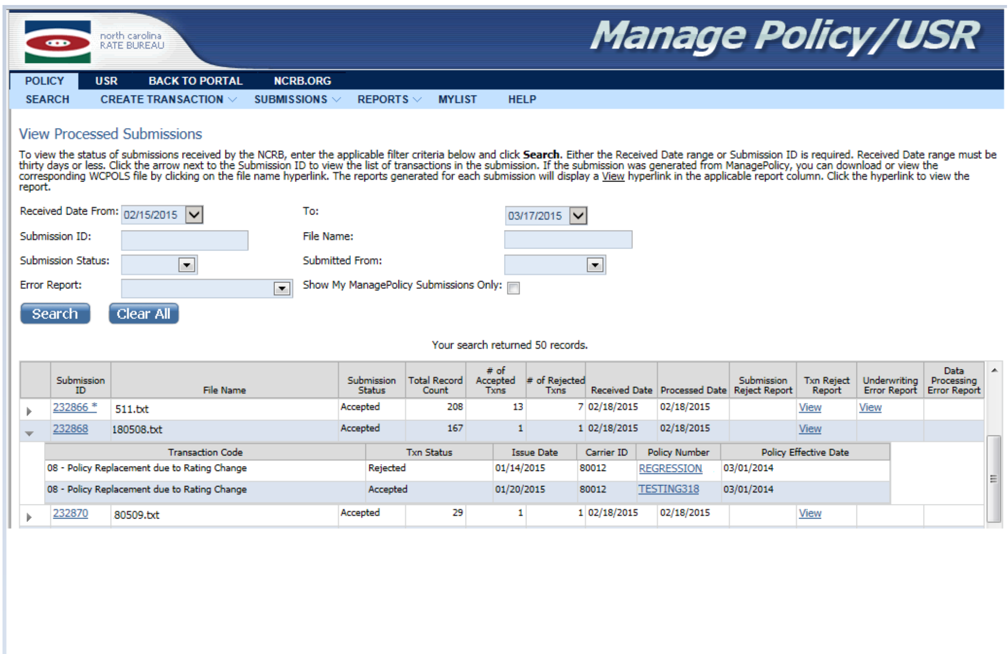
Each row in the grid can be expanded to display the transactions included in the submission. When you click the arrow icon in the first column, the list of transactions appears. You can collapse the list by clicking the arrow icon again.

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

Viewing Submission Status

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

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



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

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

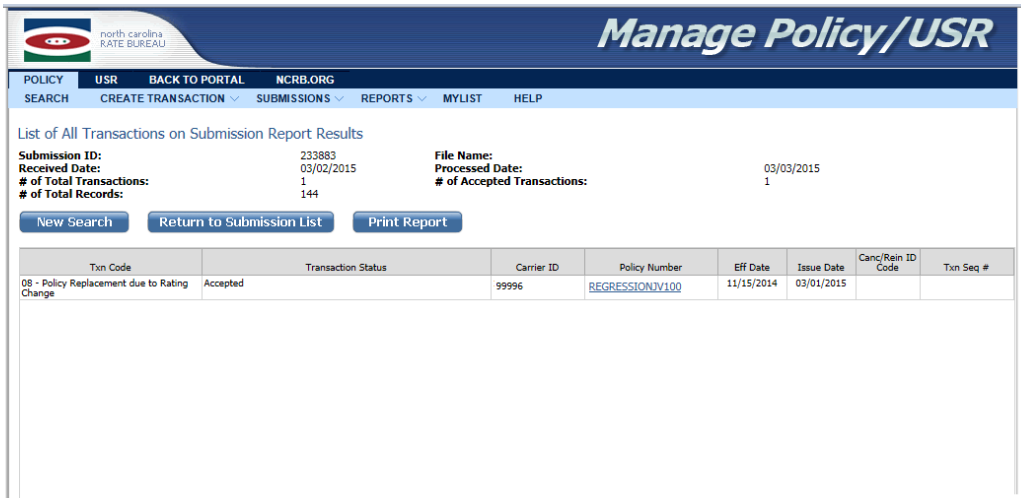
You can click a value in the Sub ID column to access to a Submission Summary Report. Refer to “Viewing Submission Summary” for more information.

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

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

Viewing Submission Summary

The Submission Summary Report Results page displays details about the Submission and a grid that lists the transactions that were included in the submission.



If the policy data associated with the transaction is available in ManagePolicy, the Policy Number will display as a hyperlink. When you click a Policy Number value in the grid, the Policy Detail page appears. Policy data is only available in ManagePolicy for the last three years from today's date. If the policy is beyond that date it will not be viewable and the policy number will not be a hyperlink.

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

This page also enables you to print the report or export it. When you click the Print Report button, a preview window will appear, displaying a Print button and an Export link. If you click the Print button, the report is sent to the printer. If want to export the report, select the desired format and click Export. You will be prompted to specify filename, and location to which the results will be exported.

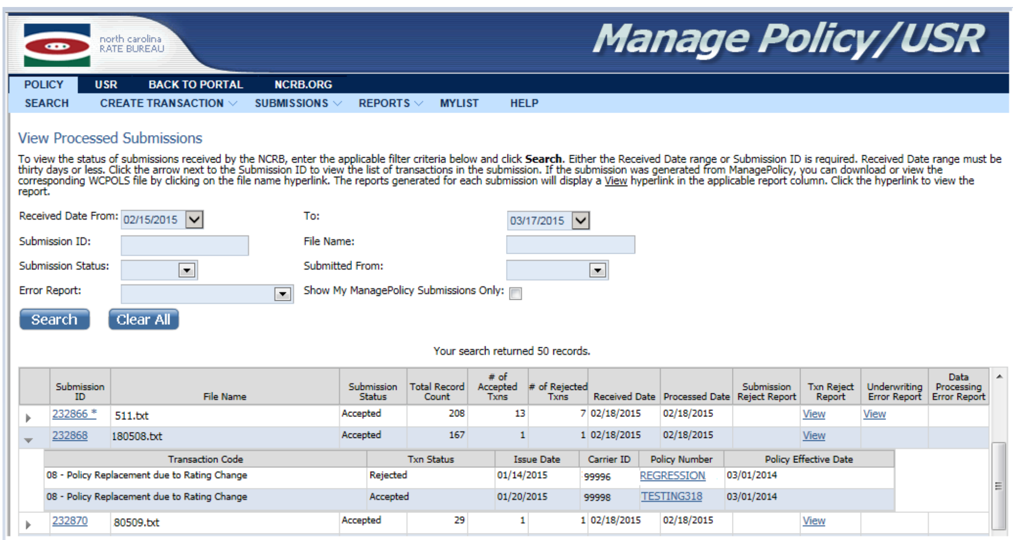
Viewing Error Reports

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

Another way to access error reports is by searching for them using the Error Reports page, which enables you to search for errors across multiple submissions.

Errors by Submission

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



For any submissions that include errors, the grid displays a View link that allows you to access the applicable error report:

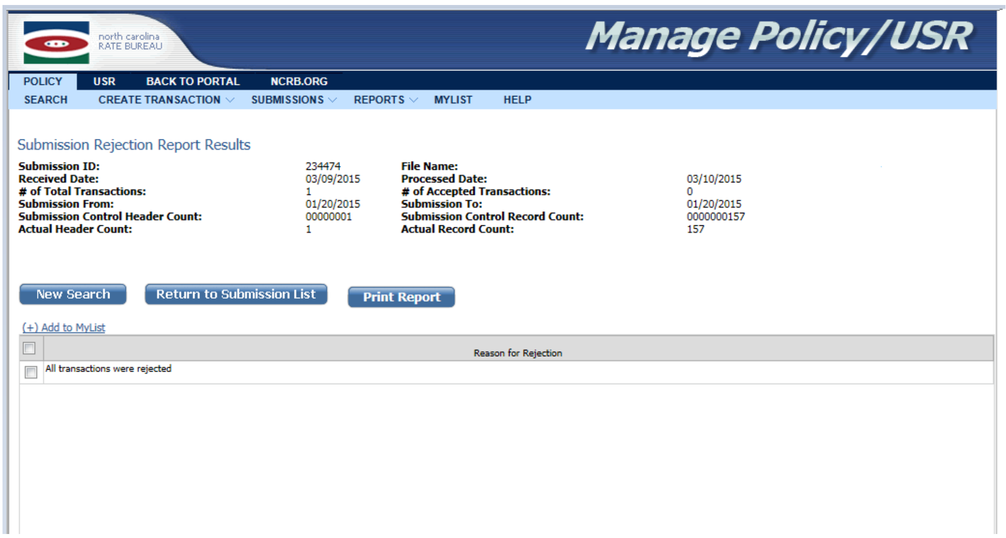
- Submission Reject Report—Displays the Submission Reject Report, described below.
- Txn Reject Report—Displays the Transaction Reject Report, described below.
- Underwriting Error Report—Displays the Underwriting Errors Report, described below.
- Data Processing Error Report—Displays the Data Processing Errors Report, described below.

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

The report pages also enable you to print the report or export it. When you click the Print Report button, a preview window will appear, displaying a Print button and an Export link. If you click the Print button, the results are sent to the printer. If want to export the results, select the desired format and click Export. You will be prompted to specify filename, and location to which the results will be exported.

Submission Rejection Errors (PT18)

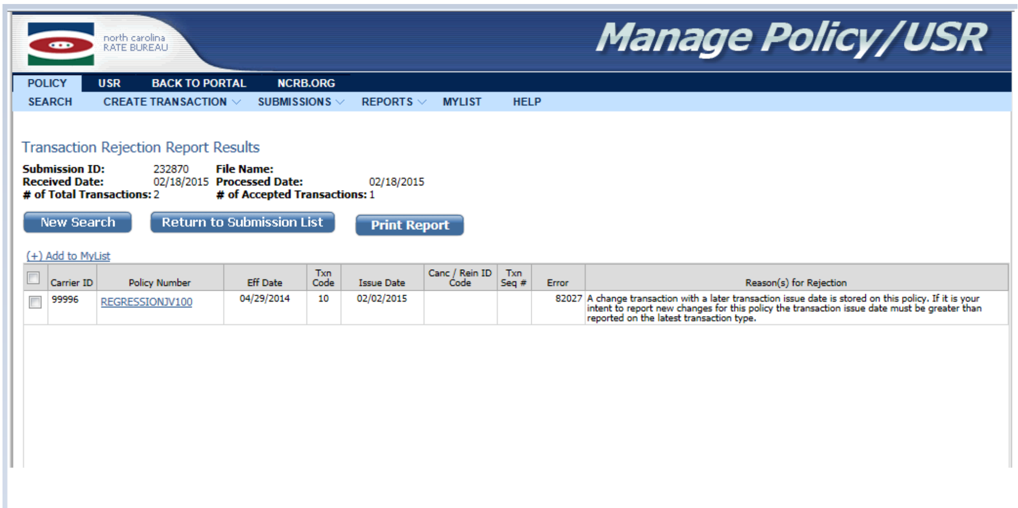
The Submission Rejection Report Results page displays details about the Submission and a grid that lists reject reasons for a rejected submission.



If all of the transactions within the submission were rejected, the grid displays a link to the Transaction Rejection Report page for the currently displayed submission.

Transaction Rejection Errors (PT3)

The Transaction Rejection Report Results page displays details about the Submission and a grid listing the rejected transactions, with an error description for each.

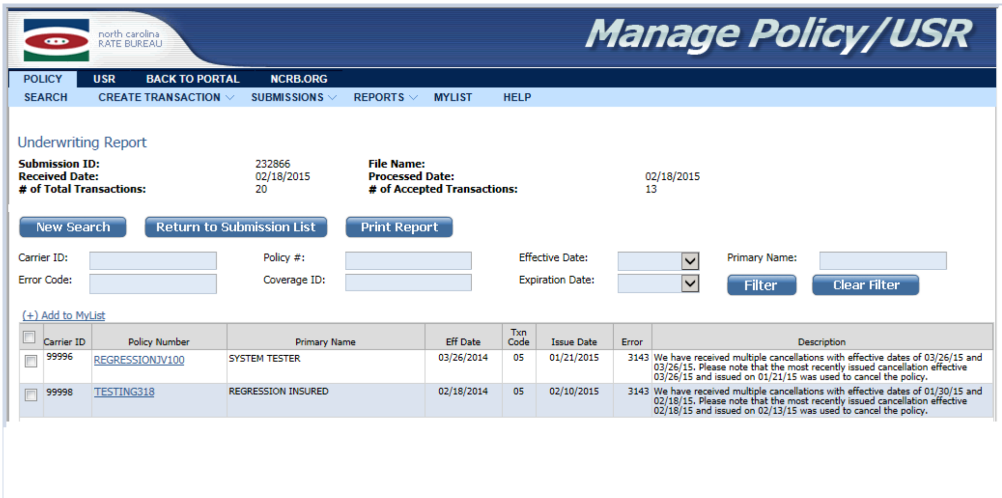


If the policy associated with the transaction is available in ManagePolicy, the Policy Number will display as a hyperlink. When you click a Policy Number value in the grid, the Policy Detail page appears.

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

Data Processing and Underwriting Errors

The Data Processing Report page and the Underwriting Report page display details about the transactions within the Submission, fields that allow you to search for error records, and a grid that displays the search results.



The available search fields are as follows:

- Carrier ID—The search returns only records where the Carrier ID matches the value you enter.
- Policy Number— The search returns only records where the Policy Number matches or begins with the value you enter.
- Coverage ID— The search returns only records where the Coverage ID matches the value you enter.
- Primary Name— The search returns only records where the Primary Name matches or begins with the value you enter.
- Effective Date— The search returns only records where the Effective Date matches the value you enter.
- Expiration Date— The search returns only records where the Expiration Date matches the value you enter.
- Error Code— The search returns only records where the Error Code matches the value you enter.

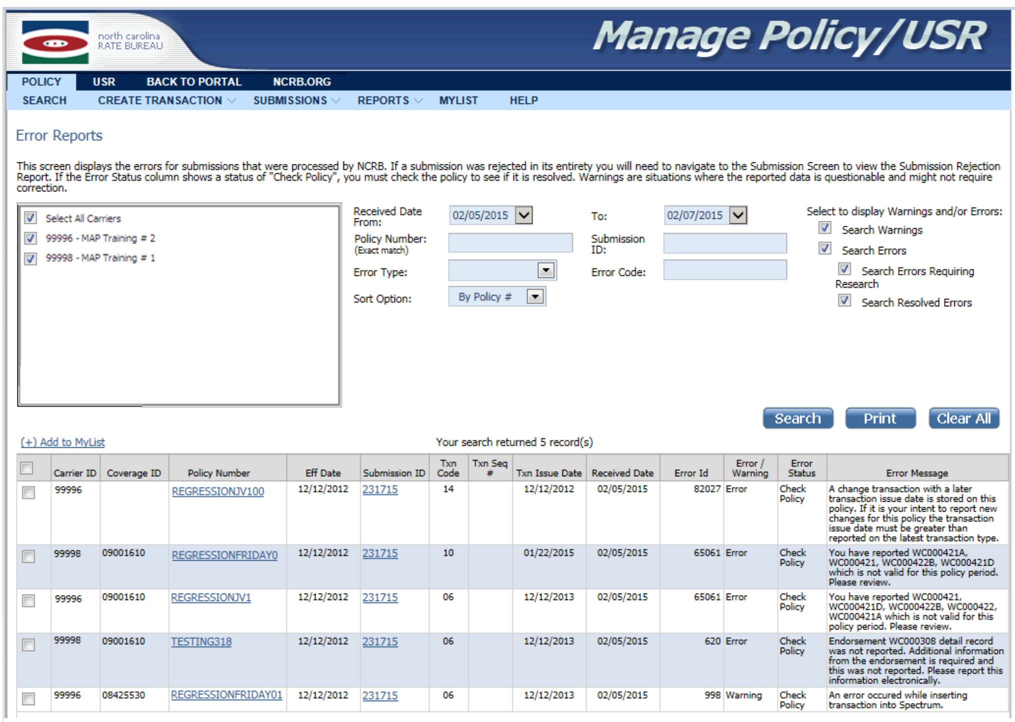
When you execute the search, all error records matching your criteria will be returned in the search results.

When you can click a Policy Number value in the grid, the Policy Detail page appears. You can click a value in the File Name column to download the Submission file containing all transaction details for the submission.

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

Searching for Error Reports

The Error Reports page enables you to search for errors across multiple submissions and, if the status can be determined, you can check on the resolution status of the error. For 04, 05, and 17 Transactions, the resolution status cannot be determined electronically. You will need to review the history of submitted 04, 05, and 17 Transactions to determine error resolution status.



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

The available search fields are as follows:

- Received Date—The search returns only records where the Received Date is in the specified date range.
- Policy Number— The search returns only records where the Policy Number matches the value you enter.

- Submission ID— The search returns only records where the Submission ID matches the value you enter.
- Error Type—Only records with the specified Error Type will be returned in the search results. To search for all Error Types, select the blank option from the dropdown list.
- Error Code— The search returns only records where the Error Code matches the value you enter.

In addition, check boxes allow you to specify if you want the search to return Warnings and specify whether resolved errors should be returned. You can also specify how the records will be sorted by selecting By Policy # or By Error Type from the Sort Option dropdown list.

By default, the search returns only Unresolved errors. If you select the Show Resolved Errors checkbox, the search will return both Resolved and Unresolved errors.

When you execute the search, all error records matching your criteria will be returned in the search results.

If the policy data for the displayed transaction exists in ManagePolicy, the Policy Number will display as a hyperlink. When you click a Policy Number value in the grid, the Policy Detail page appears. When you click a Submission ID value, the Search Processed Submission page appears, with data for the selected submission.

Note: The Error Reports page enables you to print or export the list of error records returned by your search. When you click the Print button, a preview window will appear, displaying a Print button and an Export link. If you click the Print button, the results are sent to the printer. If want to export the results, select the desired format and click Export. You will be prompted to specify filename, and location to which the results will be exported.

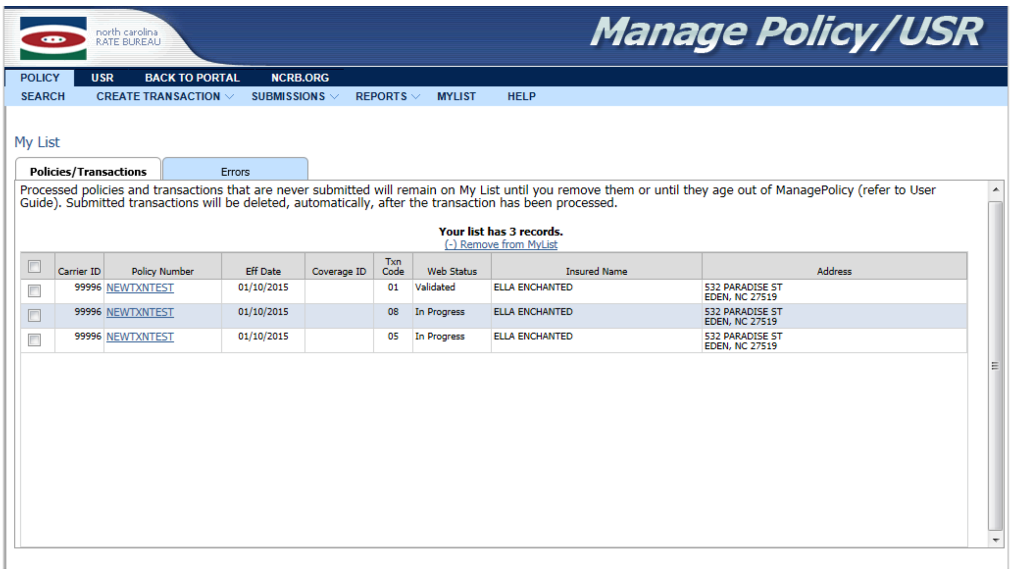
The checkbox in each row allows you to select records for inclusion in MyList, a personalized view of specific policy, transaction, and error records that you have identified. (If you want to select all currently visible records in the grid, select the checkbox in the column heading row.) After the desired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

MyList

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

Note: Policies and transactions are added to the list from the Search Results page. Errors are added to the list from the Transaction Reject Report, Underwriting Error Report, Data Processing Error Report, or the Errors Report screen.

When you click MyList in the menu, the MyList page appears.



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

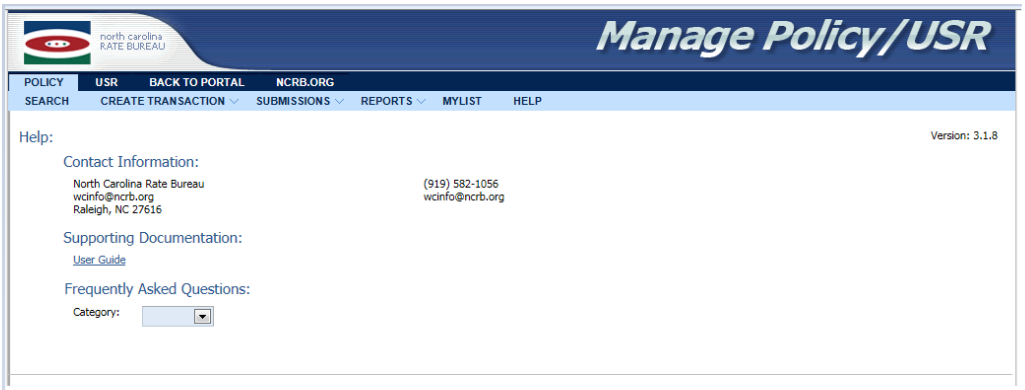
On both tabs, the Policy Number value is a link that allows you to accss the Transaction Detail page or the Policy Detail page.

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

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

Obtaining Help

When you select Help in the menu, the Help page appears.



The page displays the DCO Address, Contact Number, and Email Address; a link to the ManagePolicy User Guide; and a link to Frequently Asked Questions.

Appendix A: Abbreviations and Definitions

Term / Abbreviation	Definition
WCIO	Workers Compensation Insurance Organization is a voluntary association of statutorily authorized or licensed rating, advisory, or data service organization that collects workers compensation insurance information in one or more states.
Bureau	Workers' Compensation state bureau. Also known as DCO.
DCO	Data Collection Organization. Also known as Bureau.
NC or NCRB	North Carolina Rate Bureau
WCPOLS	Workers Comp Policy Tape Reporting Specifications is the name for the WCIO file layout that carriers use to submit policy data to a DCO.
WCRatings	A web application that allows users to view rating worksheets online.
ManageUSR	A web application that allows users to view unit statistical data online.
In Progress transactions	Transactions that are created by the user within the application but have not been validated. In Progress transactions can be viewed and modified but cannot be used as the basis for new transactions.
Validated transactions	Transactions that are created and validated by the user within the application but have not been transmitted to the DCOs backend system for processing. Validated transactions can be viewed, modified, and used as the basis for new transactions.
Submitted transactions	Transactions that the USER has identified as ready for Bureau processing but has not been processed by the DCOs backend system.
Processed transactions	Transactions that have been processed by the DCO's backend system. These include policies revised by change transactions, endorsements, cancelations or reinstatements, which have been processed by the Bureau. These are also the new policies. Once a transaction that was created from ManagePolicy is processed, it is no longer available in ManagePolicy as a transaction. It is viewable as a processed policy if it was accepted by the Bureau.

Change transactions	Change Transactions are complete policy replacements; Transaction Codes 06, 08, 10, 14, and 15 are called Policy Replacements or Change Transactions.
Replacement policies	Transactions 08, 10, 14 and/or 15 which update or change a policy completely by replacing the original policy with the new policy. The replacement transactions contain all policy information and result in complete policy replacement.
“Key” change/replacements	Transactions that change the Policy Key Data fields, which are Carrier Code, Policy ID Number, or Policy Effective Date. “Key” changes have Transaction Code 06 and require a cancellation to cancel the replaced policy as of the effective date of the 06 Transaction.
Non “key” change / replacements	Transactions that make any change other than a “key” change. These transactions can be one of the following: 04, 08, 10, 14 and 15.
Policy Status	Policies that have been processed through the DCOs backend system have one of the following statuses: Active - The policy was active and in effect for the full policy term. Cancelled - The policy has been cancelled. The cancellation date falls between the effective date and the expiration date of the policy. Cancelled Flat - The policy has been cancelled on the policy effective date. Reinstated - The policy has been reinstated. The policy was previously cancelled but has now been reinstated. Non-renewal - The policy has been cancelled on the expiration date of the policy and will not be renewed by the carrier.
Submission Status	Indicates the status of a submission. The possible statuses are as follows: Accepted - The submission has been accepted. Rejected - The submission has been rejected.
Transaction Status	Accepted – The transaction has been stored on the policy without error. Accepted with Errors – The transaction has been stored on the policy with errors that can be viewed on the Error Reports. Rejected – The transaction has not been stored and has been rejected. The reject reason can be viewed on the Transaction Rejection Report.

	Processed – The policy is stored on the Bureaus database.
Transaction Code	Code that identifies a specific kind of transaction. Refer to “Transaction Codes” in the “Creating Transactions” section for a definition of each Transaction Code.`