



# PORTABILITY DATA REQUIREMENTS MANUAL

**April 2008** Version 7.0

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# 1 INTRODUCTION

The *Portability Data Requirements Manual* details the requirements for the portability of Claims and Policies under the new Scheme arrangements, including the data required to facilitate the transfer of Claims and Policy Records, and the changes to the WorkCover (WCA) submission data requirements.

This manual assumes an understanding of the current WCA Claims and Policy data requirements, and should be read in conjunction with the *Claims Technical Manual*, the *Policy Technical Manual* and the *Records Management and File Transfer Manual*.

WCA acts for and exercises the powers of the Nominal Insurer (NI), and will manage contracts on behalf of the Nominal Insurer. The NI remains the insurer for all Workers Compensation Claims and Policies and Scheme Agents act on behalf of the NI.

# 2 BACKGROUND

Portability Data requirements were introduced to enable a controlled movement of claims and policy data between agents. This movement could be a result of a programmed redistribution due to a change in contract or due to other market forces.

When, and if the NI directs the transfer of claims and/or policies those claims and policies selected for transfer will be based on specific criteria and will be randomly selected from an available pool. The NI will endeavour to transfer claims to Scheme Agents with demonstrable claims management skills and will benefit Workers by:

- helping injured Workers recover their health and return to work in a way that is safe and durable
- improving case management
- ensuring the most effective and appropriate care, particularly for those requiring specialist treatment.

Workers will retain their right to choose a doctor and treatment provider, with continuity of care and benefits being maintained.

Claims could move independently of policies. Policies will move at renewal only.

Transferring policies will consider the benefit to employers with:

- improved management of Scheme Agents' performance
- a consistent approach to Scheme issues, such as fraud, compliance and recoveries.
- improved management of their employees' Claims

There may be transfers of Claims and/or Policies between Agents during the period of the contract. In the event of a transfer part way through the contract period, transferring Agents will be expected to meet the same requirements for data transfer outlined in this manual.

### 3 DATA TRANSFER PROCESS

WCA provides an extract list to Scheme Agents detailing the Claims and Policies identified for transfer from the Exiting Scheme Agent to the Receiving Scheme Agent, transfer files detailing Claims and Policies to be transferred, and a list of errors that are outstanding for Claims scheduled for transfer.

In consultation with Scheme Agents, guidelines were developed for the direct transfer between Scheme Agents of paper files and case note text files.

#### 3.1 EXTRACT LISTS

##### Policy extract

The criteria for the distribution of the portfolio allocation identify the Policies to be transferred to new Scheme Agents. Each Policy extract file lists the Policies to be transferred from the Exiting Scheme Agent to the Receiving Scheme Agent and both Scheme Agents receive a copy of the extract file.

##### Policy extract file format

The Policy extract file is formatted as follows:

- each record is separated by a carriage return/line feed
- each field within a record is separated by a comma
- each field is no specific length
- text strings in double quotes – e.g. 5 Oxford Street, Sydney = "5 Oxford Street, Sydney"

If a field were not present, one comma would be followed by another, denoting an empty field.

The layout and detail required for the Policy extract is listed below.

##### Header Record

Exiting Scheme Agent number	Receiving Scheme Agent number	Extract creation date	Extract type (P)	Extract number	Transfer Date
				<i>(unique number allocated to track each extract created)</i>	

The following "Detail Record" layout provides an overview of the Extract List that WCA will provide the Exiting Agent. WCA will populate the first seven (7) data item fields from Policyholder Number to WIC(s). The Exiting Scheme Agent is then required to confirm this information (e.g. identify exemptions) and in addition populate the remaining six (6) data item fields, providing WCA with the Employer mailing address details before returning the extract list to WCA.

**Detail Record**

Policy- holder number	Employer legal name	ABN	Employer Physical address locality	Employer Physical address postcode	Period expiry date	WIC(s ) *	Employer mailing address Name Line 1	Employer mailing address PO Box / St Line 2	Employer mailing address Line 3 <b>*Note 1*</b>	Employer mailing address Suburb	Employer Mailing address postcode	Employer mailing address state

- Can record more than one WIC if applicable separated by a star (\*).

**\*Note 1\*: Additional Address Details,**

**Trailer Record**

Exiting Scheme Agent number	Receiving Scheme Agent number	Policyholder count

The extract type will be "P" representing Policy. The Policyholder count will represent the number of detail Records included on the file.

### Claim extract

The criteria for the distribution of the portfolio allocation identify the Claims that are moved between Scheme Agents. Each Claim extract file lists the Claims to be transferred from the Exiting Scheme Agent to the Receiving Scheme Agent and both Scheme Agents receive a copy of the extract file.

### Claim extract file format

The Claim extract file is formatted as follows:

- each record separated by a carriage return/line feed
- each field within a record is separated by a comma
- each field is no specific length
- text strings in double quotes e.g. 5 Oxford Street, Sydney = "5 Oxford Street, Sydney"

If a field were not present, one comma would be followed by another, denoting an empty field.

The layout and detail required for the Claim extract is listed below.

### Header Record

Exiting Scheme Agent number	Receiving Scheme Agent number	Extract creation date	Extract type (C)	Extract number	Transfer Date
				<i>(unique number allocated to track each extract created)</i>	<i>(Date that transfer is to be triggered for this extract)</i>

### Detail Record

Claim number	Policy-holder number	Claimant surname	Claimant given names	Date entered Scheme Agent/ Insurer System	Date of Injury	Date Claim closed	Claim closed flag	Date Claim re-opened	Reason for re-opening Claim

### Trailer Record

Exiting Scheme Agent number	Receiving Scheme Agent number	Claim count

WCA will provide both the Exiting Scheme Agent and the Receiving Scheme Agent with details of any fatal or suspect errors outstanding on Claims to be transferred. The report is produced at the time of the Claims extract list and the Exiting Scheme Agent is expected to correct the errors identified during the notice period prior to transfer. Suspect errors not corrected at the time of transfer are recorded on the Exiting Scheme Agent's data quality standards and the Receiving Scheme Agent is responsible for the correction.

The extract type is "C" representing Claim. The Claim count represents the number of detail Records included on the file.

## 3.2 TRANSFER FILES

### Policy file

The Policy transfer file will provide sufficient details for the Receiving Scheme Agent to produce and send renewal notices to Employers for the transferred Policies. The file will be an extract from WorkCover's Corporate Data Repository (CDR) containing details of the current Policy term including WIC activity, Premium details and basic term details.

The Policy transfer file will contain the same structure as the Policy submission files, with current details for each Record only. The transfer file will be produced at the time of the Policy extract list and will contain all Policies to be transferred, covering all renewal dates. It will be forwarded to the Receiving Scheme Agent only.

The WCA claim number and policyholder identification number must not be changed at any time.

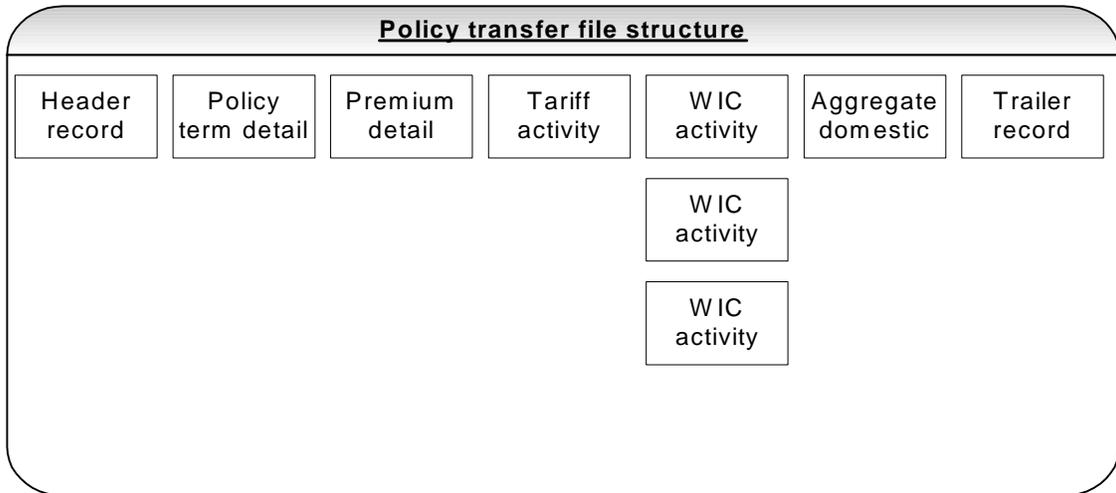
### Policy transfer file format

The Policy transfer file will be formatted as follows:

- each Record separated by a carriage return/line feed
- each field within a Record is separated by a comma
- each field is no specific length
- text strings in double quotes e.g. 5 Oxford Street, Sydney = "5 Oxford Street, Sydney"

If a field were not present, one comma would be followed by another, denoting an empty field.

The layout and detail required for the Policy transfer file is listed below.



### Policy Record data requirements

Record	Records per file	Records per Policy	Data – current only or current plus history	Rules
Header	One	N/A	N/A	Agent number = Receiving Scheme Agent number.  Submission Start date C:1.5 and submission End date C:1.6 does not apply and will be blank  Extract number will be appended to the end of the header Record
Policy term detail	Multiple	One	Current	N/A
Premium detail	Multiple	One or multiple	Current	Must be one Premium detail Record per corresponding WIC activity for each Policy
Tariff activity	One	N/A	Blank	N/A
WIC activity	Multiple	One or multiple	Current	Must be one WIC activity Record per corresponding Premium detail for each Policy
Aggregate domestic	One	N/A	Blank	N/A
Trailer	One	N/A	N/A	N/A

### Claim file

The Claim transfer file will provide a full history of the Claim to enable the Receiving Scheme Agent to continue successful management of the transferred Claim. The file will be an extract from WorkCover's CDR, with details of the Claim, payments, estimated costs and service provision Records. It will contain the same structure as the Claim submission files, with current details for each Record and a full history of each record. The file will be produced at the time of transfer, and will be aligned with the last submission from the Exiting Scheme Agent. It will be forwarded to the Receiving Scheme Agent only.

Coded data received prior to the cutover date will comply with the data standards that were applicable at the time of reporting to WCA. No coded data will be converted to the system release version 4 reporting standard (refer to the *Claims Technical Manual V4.4*) – i.e. data such as C: 2.2.9 Liability Status Code, TOOCs related data, such as C: 2.1.45 Nature of injury/disease code, and payment data. The C: 2.5.17 Payment Classification Number data field will be used to transfer the C: 2.5.4 Payment Type data – C: 2.5.4 has been retired.

Some payment transactions that have been reported post January 2006 will be in the previous reporting format.

Transfer of Claim will not be executed until such time as the Exiting Scheme Agent has resolved all fatal errors associated with a Claim. The Exiting Scheme Agent will be responsible for ensuring all activity associated with the Claim has been completed by close of business on the transfer date and that no further data updates will be undertaken against the Claim beyond the date of transfer. The Exiting Scheme Agent will ensure that all relevant data is provided to WCA on the appropriate Claims submission; that would be the submission that includes or ends on the Claims transfer date. The Exiting Scheme Agent will then undertake no further activity against the Claim. All subsequent Claim activity (from transfer date plus one) will be managed by the Receiving Scheme Agent. The Receiving Scheme Agent will commence reporting on the Claim to WCA.

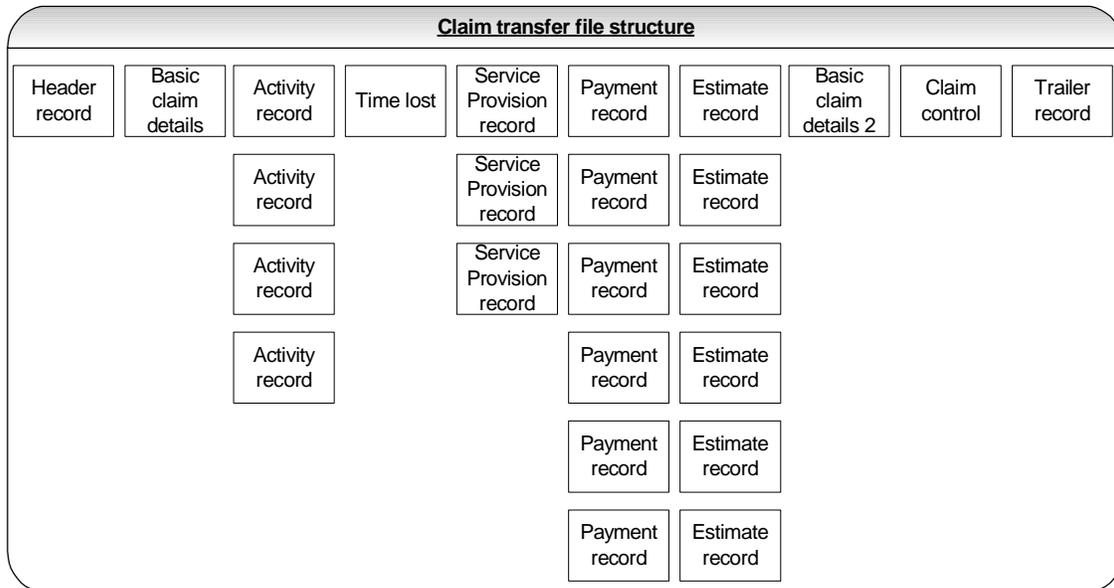
**Claim transfer file format**

The extract file is formatted as follows:

- each record separated by a carriage return/line feed
- each field within a record is separated by a comma
- each field is no specific length
- text strings in double quotes e.g. 5 Oxford Street, Sydney = “5 Oxford Street, Sydney”

If a field were not present, one comma would be followed by another, denoting an empty field.

The layout and detail required for the Claim transfer file is listed below.



### Claim Record data requirements

Record	Records per file	Records per Claim	Data – current only or current plus history	Rules
Header	One	N/A	N/A	<p>Scheme Agent number = Receiving Scheme Agent number.</p> <p>Submission Start date C:1.5 and Submission End date C:1.6 does not apply and will be blank.</p> <p>Extract number will be appended to the end of the header Record</p>
Basic Claim details	Multiple	One	Current	N/A
Activity	Multiple	Multiple	Current plus history	One activity Record for each activity Record submitted for each Claim – oldest Record first, latest Record last
Time lost	Multiple	One	Current	N/A
Service provision	Multiple	Multiple	Current	One service provision Record per rehabilitation sequence number – current details only
Compensation payments and recoveries	Multiple	Multiple	Current plus history	One Record per compensation and recovery Record submitted for each Claim – oldest Record first, latest Record last
Estimate	Multiple	Multiple	Current	One Record per applicable estimate type – current details

Record	Records per file	Records per Claim	Data – current only or current plus history	Rules
				only
Basic Claim details (2)	Multiple	One	Current	N/A
Claim control	Multiple	One	Current	N/A
Trailer	One	N/A	N/A	N/A

### Transfer reporting

Movement of Claims will be tracked in the CDR by controls on the Scheme Agent number recorded against the Claim for each period.

Policies are transferred at renewal to a new Scheme Agent and will be tracked by the Policy status code, as submitted by the Exiting Scheme Agent and the Receiving Scheme Agent in the weekly Policy submission. The Receiving Scheme Agent must confirm with WorkCover that renewal notices have been successfully forwarded to each Policyholder. Refer to the *Records Management and File Transfer Manual*.

It is important to note that for the life of a Claim, the Claim number provided to a Receiving Scheme Agent must be utilised for all correspondence in regards said Claim, be this with the Claimant, Employer, WCA (including Claim submission), Workers Compensation Commission or any other person or persons.

It is also important to note that any Policy number provided to a Receiving Scheme Agent must be utilised for renewal of all subsequent Policy Renewal Years (PRY) for a given employer and should be utilised in all correspondence with Employers, WCA (including Policy submission), Workers Compensation Commission and any other person or persons.

## 4 CLAIMS CASE NOTES

Electronic case notes recorded on a Claims management system will be extracted from the system and placed in the text file. The format of the text file is as follows:

Field	Maximum character length
Claim number	19
Separator (~ character)	1
Date of case note	8
Separator (~ character)	1
Subject of case note	200
Separator (~ character) – <i>may be more than one</i>	1
Body of case note – <i>maybe more than one</i>	240
Record terminator	Carriage Return/Line Feed
Claim number	19
Separator (~ character)	1
Date of case note	8

Separator (~ character)	1
Subject of case note	200
Separator (~ character) – <i>may be more than one</i>	1
Body of case note – <i>may be more than one</i>	240
Record terminator	Carriage Return /Line Feed

Each case note must be recorded in the text file. Case notes for each Claim must be recorded in descending date order – i.e. latest case note first, followed by case notes in date order. Claims must be recorded in the text file in ascending order by Claim number.

The “Body of case note” field will be broken into multiple fields of 240 characters maximum, partitioned by the separator.

## **5 SCHEME AGENT SYSTEM REQUIREMENTS**

Portability requires Scheme Agents to modify their Claims management and Policy management systems, as well as meet the changes required to the WCA submission requirements.

### **5.1.1 Claim and Policy upload**

Each Scheme Agent must be able to automatically upload, as required, the Claims and Policy transfer files as detailed in section 3.2. Where Claims or Policy transfer files have been uploaded, the Receiving Scheme Agent is required to undertake a reconciliation of the Claims or Policy count details provided on the trailer Record with those accumulated during the upload process.

Receiving Scheme Agents should also reconcile the Claims and Policies received on each transfer file received back to the relevant extract list (determined by the extract number in the header of the extract list and transfer files).

The Scheme Agent is responsible for advising WCA that the upload has occurred successfully and that all relevant reconciliations have been undertaken.

WCA will monitor activity against transferred Claims during the transition period and will verify that transferred Policies have been established for the upcoming Policy period.

### **5.1.2 Claim transferred status**

Where WCA has transferred a Claim to another agent, the Exiting Scheme Agent is required to update their Claims management system to reflect the transfer. Each Exiting Scheme Agent must be able to update transferred Claims to a status that ensures the Claim is no longer considered active, and accordingly, no longer reported to WCA via Claims submission.

### **5.1.3 Policy transferred status**

Where WCA has notified the Exiting Scheme Agent of Policies to be transferred to a new Scheme Agent at renewal, the Exiting Scheme Agent is required to suspend the renewal process –i.e. for each Policy that will be transferred, the Exiting Scheme Agent must change the Policy Status Code (P: 2.1.6) to the value “7 – Final Policy Period – Employer transferred” on their system. This status will be reported to WCA via the Policy submission, to indicate that the Policy will not be renewed with this Scheme Agent for the following Policy renewal year.