



State of Utah

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Utah Labor Commission
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Division of Industrial Accidents
RONALD DRESSLER
Director

BULLETIN – 5-2011

To: Workers' Compensation Insurance Carriers

From: Ronald Dressler, Director
Industrial Accidents Division

Date: May 31st, 2011

Re: Proof of Coverage Reporting Requirements and Penalties

The Utah Workers' Compensation Act § 34A-2-205 establishes the requirement of insurance carriers to report workers' compensation policy information to the Industrial Accidents Division of the Utah Labor Commission. The accuracy of the policy information provided by the insurance carriers assists the Division in identifying uninsured employers for the purpose of bringing them into compliance with the Act.

In Bulletin – 8-2010 the Industrial Accidents Division outlined the current procedures used for assessing the penalties resulting from noncompliance with §34A-2-205. The procedures outlined in Bulletin – 8-2010 will remain in effect.

In order to move toward complete compliance with the statute the Industrial Accidents Division recently audited all data transactions with the provisions of § 34A-2-205 to determine which transactions are subject to the penalties outlined in Subsection (3).

Below is a list of the EDI POC transactions and coding that fall under the requirements of § 34A-2-205 to meet both the data compliance and timeliness guidelines. Some of the transactions have not been actively enforced and penalized in the monthly reporting sent by the Industrial Accidents Division to the insurance carriers writing workers' compensation policies in Utah.

The transactions that have not actively been penalized under the provisions of § 34A-2-205 for both data compliance and timeliness are highlighted in yellow, the transactions that have been penalized for data compliance but not timeliness are highlighted in green. The transactions with no highlight are presently being penalized for both data compliance and timeliness.

Any data transactions not presently being enforced will be subject to the mandated penalties when received by the division or its designee effective August 1, 2011.

Transaction	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code
Binder - all/some Employer Locations within Jurisdiction	00	05	01
Binder – Insured has No Physical Location within Jurisdiction	00	05	80
Binder - Employers with No Physical Address, but Operating within the Jurisdiction	00	05	86
New Policy - all/some Employer Locations within the Jurisdiction	00	10	01
New Policy – Insured has No Physical Location within Jurisdiction	00	10	80
New Policy - Employers with No Physical Address, but Operating within the Jurisdiction	00	10	86
Renewal - all/some Employer Locations within Jurisdiction	00	20	01
Renewal - Insured has No Physical Location within Jurisdiction	00	20	80
Renewal - Employers with No Physical Address, but Operating within the Jurisdiction	00	20	86
Endorsement – Notifying a New Jurisdiction when a New Location is added to Existing Policy	00	31	72
Endorsement – Notifying a New Jurisdiction when a New Employer with No Jurisdiction location is added to Existing Policy	00	31	80
Rewrite/Reissue – Employer Locations within Jurisdiction	00	50	01
Rewrite/Reissue - Insured has No Physical Location within Jurisdiction	00	50	80
Rewrite/Reissue - Employers with No Physical Address, but Operating within the Jurisdiction	00	50	86
Add New Insured FEIN	05	31	76
Add New Employer – Add (Location in Jurisdiction)	00	31	54
Add New Employer – Add (Employer Not in Jurisdiction)	00	31	86
Add Employer – Add (Employer not in Jurisdiction)	00	31	87
Correct Insured FEIN	05	32	76
Change Policy Number	05	32	79

Correct Erroneous Policy Effective Date	05	32	81
Correct Erroneous Expiration Date	05	32	82
Change Employer FEIN – Employer Locations within Jurisdiction	05	32	77
Change Employer FEIN – Employer with No Jurisdiction Location	05	32	96
Delete Jurisdiction No Longer Covered by Carrier/Insurer	00	33	73
Delete Employer Locations within Jurisdiction	00	33	56
Delete Employer with No Jurisdiction Location	00	33	87
Policy Cancelled by Carrier/Insurer Non Payment	00	41	59
Policy Cancelled by Carrier/Insurer Underwriting Reason	00	41	64
Policy Cancelled by Carrier/Insurer Revocation of Voluntary Market Acceptance	00	41	66
Policy Cancelled by Carrier/Insurer Failure to Pay Deductible	00	41	69
Policy Cancelled by Carrier/Insurer Misrepresentation on Application	00	41	70
Policy Cancelled by Carrier/Insurer Rewrite/Reissue	00	41	71
Policy Cancelled by Insured Reason Unknown	00	42	01
Policy Cancelled by Insured Out of Business	00	42	45
Policy Cancelled by Insured Coverage Placed Elsewhere	00	42	60
Policy Cancelled by Insured Duplicate Coverage	00	42	61
Policy Cancelled by Insured Change of Ownership	00	42	62
Policy Cancelled by Insured Business Sold	00	42	63
Policy Cancelled by Insured No Employees/No Exposure/No Operations	00	42	65
Carrier/Insurer Reinstates Policy	00	70	01
Policy Non-Renewed by Carrier/Insurer - Underwriting discretion	00	60	64
Policy Non-Renewed by Carrier/Insurer - Non payment*	00	60	59
Policy Non-Renewed by Insured Reason Unknown	00	60	01
Policy Non-Renewed by Insured Out of Business	00	60	45

Policy Non-Renewed by Insured Coverage Placed Elsewhere	00	60	60
Policy Non-Renewed by Insured Change of Ownership	00	60	62
Policy Non-Renewed by Insured Business Sold	00	60	63
Policy Non-Renewed by Insured No Employees/No Exposure/No Operations	00	60	65

Although this list does not include the data transaction “Change Carrier/Insurer FEIN” (05-32-83) because it does not fall under the current requirements of the Law, there may be an update to include this transaction in order to meet the EDI Claims standards that Utah is working toward implementing.

Please forward any questions or comments to:

**STATE OF UTAH LABOR COMMISSION
DIVISION OF INDUSTRIAL ACCIDENTS**

Erin Latta, Collection Manager

elatta@utah.gov

(801) 530-6840

160 East 300 South, 3rd Floor

P.O. Box 146610

Salt Lake City, UT 84114-6610