



# PEEP User Guide

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Summary of Changes

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## **Introduction**

### **What is PEEP?**

The PEEP (Policy Entry and Edit Package) application was developed by Compensation Data Exchange, or CDX, and is an application designed to give Carriers and their authorized Third Party Administrators the ability to enter, edit, validate, and electronically submit or import policy information.

The PEEP application also allows for the import of policy data in the WCPOLS (Workers Compensation Policy Data Specifications) format. For additional information regarding WCPOLS, see the WCIO (Workers Compensation Insurance Organization) website, [www.wcio.org](http://www.wcio.org).

Validation rules vary by each Data Collection Organization (DCO). PEEP should significantly reduce erroneous policy submissions; however, passing the PEEP validation process is not a guarantee that the policy transaction will be processed without error by a DCO. Likewise, failing PEEP's validation process does not preclude that the transaction will fail the edits of individual DCOs.

### **Establishing a PEEP / CDX Account**

Access and security to PEEP are provided through the CDX system. In order to access PEEP, you must have a CDX account. The CDX User Guide is available on the CDX website [www.cdxworkcomp.org](http://www.cdxworkcomp.org). It includes information about how to set-up a CDX account. The guide describes various access levels and outlines specific instructions for Carrier use.

For more information on establishing your account, view the Computer Based Training on the CDX website under "Online Training".

You may also contact the CDX Central Support or the CDX Representative(s) at the appropriate DCO(s) listed in the CDX Help Contact List located on the CDX website.

### **Permissions**

All Users must have permission to use PEEP. The Insurer's Primary Administrator and the Insurer's User with Administrative Permissions grants this permission. Users will be given access to the PEEP menu along with the ability to view PEEP data and/or enter and modify PEEP data. Users will access the application with their Username and password.

The Insurer's Primary Administrators have access to the policies and transactions for all the Carriers in their group, while the Insurer's Users only have access to the policies and transactions that are written through Carriers they have been granted access to. They may also import WCPOLS files and create new WCPOLS submission files from PEEP.

Certain Users may only be given permission to view policies and transactions for the "Carrier Code" for which they have been given permission. Additional permissions may be given to allow entry and updating of policies and transactions, importing of WCPOLS files, and creating WCPOLS submission files.

A Third Party Administrator (TPA) and TPA User may be given permission to view policy data for which they are associated. Additional permission may be given to allow entry and updating of policies, importing of WCPOLS files and creating WCPOLS submission files.

## PEEP Overview

PEEP allows for the entry of data elements that must be converted into a standard format required for electronic policy reporting, which PEEP does for you. The PEEP application also allows for the import of policy data in the nationally accepted WCPOLS format. Additional information regarding WCPOLS can be found on the WCIO website at [www.wcio.org](http://www.wcio.org).

A Workers Compensation policy is an insurance contract between the employer (Insured) and insurer (Carrier). PEEP was developed to replicate the hard copy Workers Compensation policy as closely as possible. PEEP allows for the data entry of all data elements needed to create a policy. Just as the hard copy of a Workers Compensation policy includes the Declaration (Dec) Page, Schedule pages, and Endorsements, PEEP is the application used to report Workers Compensation policy information. The policy data elements are collectively the same information included in the insurance policy.

These data elements are used to create records (Header, Name, Address, State Premium, Exposure and Endorsement Listing), as well as various variable text records. Records create transactions. Transactions describe policy activity such as creating coverage for an Insured, specific policy changes, cancellations, or noncompliance.

Policy data information is used to provide Proof of Coverage (POC) for tracking of Unit Statistical Reports and for the administration of Assigned Risk Pools, among other things.

The activities associated with the policy transactions are captured in the PEEP application. The PEEP application allows you to:

- Create new transaction(s) from scratch,
- Add additional transaction(s),
- Copy existing transaction(s),
- Update existing transaction(s),
- Validate submissions and transaction(s),
- Submit transaction(s),
- Delete submission(s) and transaction(s),
- Import submission(s) and transaction(s),
- View submission(s) and transaction(s),
- Archive submission(s) and transaction(s).

PEEP also performs a few initial validation edits at entry to ensure the policy will meet predefined requirements indicated by the DCO. The finished, validated transactions are then bundled into an electronic submission file for transmission to the selected DCO.

In addition to creating transactions in PEEP, policy data can be developed by other means, such as the Carrier's own system, and imported into PEEP in WCPOLS format for editing and submission.

**Note:** As you work with the various types of transactions, you will see that not all fields in PEEP apply to all DCOs. Not all DCOs accept every transaction that can be produced through PEEP. Further, PEEP edits are very basic. Contact individual DCOs for information on the transactions that are accepted at their DCO. Individual DCOs will perform additional edits as determined by their business needs.

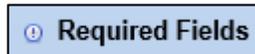
There are 7 menus under the PEEP selection. "PEEP Home", "Search", "Create Transaction", "Submissions", "Archive", "PEEP Report" and "Help".



This guide will take each menu individually starting with "Policies". There will be other sections added in order to clarify some points in greater detail.

Data entry / input screens are referred to as pages and will be called pages in this User Guide.

There are certain data fields specifically required by all DCOs. Those required fields are indicated by the ⓘ symbol next to the data field; plus, there is a reminder at the bottom of each page.



Some fields include default information as part of a dropdown display, which you can change. Likewise, some fields will display the required format for a specific field, i.e., Date field shows, MMDDYY. Some fields will indicate if a decimal point is to be included with the entry or not.

## Types of Transactions

Transactions are a set(s) of record(s) that describe policy activity. All of the transactions included in the PEEP application represent activity associated with a policy. These transactions include the same details as the actual paper policy or endorsements sent to the Insureds. These transactions can be keyed into PEEP with or without the original policy transaction.

**01-New Policy** – This transaction is used to create a policy when the Insurer is issuing a policy for an Insured for the first time.

**02-Renewal Policy** – This transaction is used to report coverage that is being continued for another policy term by the same Insurer.

**03-Endorsements (N/A: MI, MN) (Stand Alone)** – This transaction is used to report changes to a policy or provide additional information about a policy that has

been previously issued. These transactions only require the information issued on the endorsement form.

**04-Annual Rerate Endorsement** – This transaction is used to report the following two types of coverage:

- The second or third year of a three-year variable rate policy.
- The remaining portion of policies with a coverage period greater than one year and sixteen days.

**05-Cancellations and Reinstatements** – This transaction is used to report cancellation, non-renewal, or reinstatement of a policy.

**06-Policy Replacement Due to Key Field Change** – This transaction is used to report a replacement policy for a previously issued policy with at least one “Link Data” field change. Only one “Transaction Code”-06- may be submitted per policy on the same issue date. Some DCOs may require a cancellation-“Transaction Code” 05-of the previously issued policy this transaction replaces.

**08-Policy Replacement Due to Rating Change** – This is a policy transaction used to report a change to the policy that impacts premium amounts. This is a complete policy replacement.

**10-Policy Replacement Due to Non-Rating Change** – This is a policy transaction used to report a change to the policy that does not impact premium amounts. This is a complete policy replacement.

**Note:** Some DCOs may require that “Transaction Code” 08 should be used if the transaction includes both rating and non-rating changes.

**14-Policy Replacement Due to Misc. Change / Non-Key Field Change** – This is a policy transaction that may be used at the Insurer’s option for policy changes, excluding key data field changes, in place of “Transaction Codes” 08 and 10. This is a complete policy replacement.

**15-Policy Replacement Due to Add / Delete State Change** – This is a policy transaction used to add or delete a state from a previously issued policy.

**Note:** Some DCOs do not allow their state to be deleted with a “Transaction Code” 15. Instead, a “Cancellation Transaction Code” 05 may need to be submitted, according to the state’s statutory requirements.

**16-Proof of Coverage (POC) Notice / Binder (N/A: MI, NC, NJ)** – This transaction is used to report coverage when the Insurer does not have all the information available that is required for a complete policy document. Minimum requirements include “Link Data”, at least the primary name and mailing address, 3A states, and any required field with an ⓘ indicator. Additional information may be required when reporting to various DCOs.

**17-Non-Compliance / Compliance of Policy Terms and Conditions Transaction Compliance Notice (DE, MA, MN, NC, NCCI Only)**

This transaction is used to report noncompliance issues as a result of undisputed premium due, and/or noncompliance with the policy terms and conditions on a policy or coverage notice previously reported. This “Transaction Code” is also used to report satisfaction of a previously reported noncompliance transaction.

**18-Renewal Certificate/Renewal Agreement (CA only)** - This transaction is used to report subsequent policy periods for policies written on a continuous basis.

## Navigating on Page and Between Pages

### Navigating Results

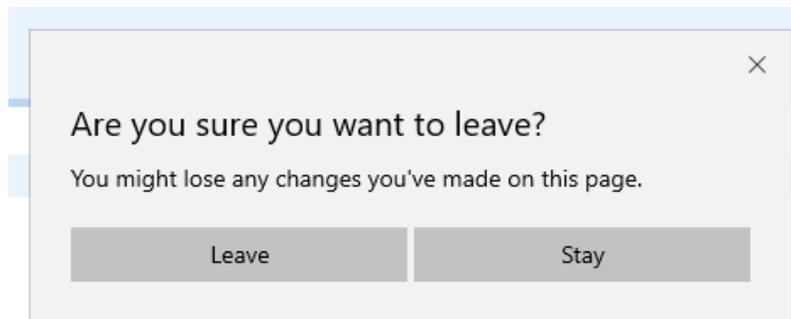


If there is more than one page of results, you can open different pages by clicking on “First”, “Previous”, “Next”, and “Last” at the bottom of the page.

To go to a specific page, enter the page number in the “Page” field then click on “Go To” page, or click on “Scroll To Top” or “Scroll to Bottom” to navigate to the top or bottom of the current page.

### Navigating Between Pages

When navigating between the data entry pages, the following pop-up may appear. If you are finished with the current page, click “Leave”. If you are not finished, click “Stay”.



## Saving Data

At the bottom of each page you are given options for entering and/or retaining data. These options vary per page. Selection of a given option will perform a specific function which, unless otherwise stated, will save the entered data. Information will not be saved unless one of the Save options is clicked.



Specific definitions of each function are included on each page.

“Save” – Retains the data entered on that page and, in some cases, returns you to the previous page

“Save and Next” – Saves the data entered and automatically takes you to the next page

“Save & New” – Saves the data entered, then clears the form so you can add new data

“Save & Continue” - Varies depending on the page, but basically saves the data entered and retains it on screen to be modified for the next entry. The specific action that will occur when an option is clicked is displayed on the page you have open.

“Clear Form” and “Reset” - Resets the changes made on the screen prior to saving, and clears the fields.

## Field Types

There are 4 types of PEEP entry fields:

**Alpha** - Letters are saved as entered, whether uppercase or lowercase letters. Numeric and special characters are not accepted.

**Alphanumeric** - PEEP accepts alpha, numeric, and special characters in alphanumeric fields. The exception is the “Policy Number” -- it does not accept spaces or special characters.

**Numeric** – Is a numbers-only field; however, negative numeric values are not valid for PEEP entry. The “Manual Rate” and “Experience Mod” fields are the only fields that require a decimal point; thus, watch for the wording— “assumed” decimal point.

**Date** - Must be entered as (MMDDYY) month, day, and year. PEEP will alert you if an invalid date is entered.

## Status of Policy/Transaction

Once you have entered and saved all or any portion of a policy transaction, the status will be identified. The various statuses are:

“Work in Progress”—Indicates that some, or all, policy information has been saved.

“Not Edited”—Displayed when creating a submission, this indicates that the policy information has not been validated.

“Passed”—Policy information has been saved and has passed all edits.

“Failed”—Policy information has been saved, but one or more edits have failed.

“Submitted”—Validations have been completed and policy information has been included in a submission file. No changes can be made to the information.

Note: As discussed in a later section, a transaction status of “Submitted” is not the same as sent to a DCO.

“Forced”—Policies with a “Forced” status can be selected for submission. Policy information

has been saved, one or more of the edits have failed, but the policy information can be forced into a submission.

Note: Changes can be made to any of the information that has been entered for any status except "Submitted".

### **Policy Change Effective Dates and Policy Change Expiration Dates**

The "Policy Change Effective Dates" and "Policy Change Expiration Dates" are the last couple of data entry fields on each of the pages. These dates are to be used in conjunction with change "Transaction Codes"-08, 10, 14, and 15. These dates should be entered on the page(s) where the change(s) have been made when data has been added, changed, or deleted from a policy transaction, and you choose to submit one of these transactions rather than submitting a stand-alone endorsement—"Transaction Code" 03.

# Policy Transaction Pages



[PEEP HOME](#)   [SEARCH](#)   [CREATE TRANSACTION](#)   [SUBMISSIONS ▾](#)   [ARCHIVE ▾](#)   [PEEP REPORT](#)   [HELP ▾](#)

“Create Transaction” on the PEEP home page is the initial step to adding a policy transaction from scratch. The rest of this section will introduce you to each of the policy pages. The flow will be an introduction to the blank page then show you the page after data has been entered. This will offer a more realistic approach as to how the pages will truly look as you navigate from one to the other.

Clicking on “Create Transaction” navigates you to the “Link Data Information / Key Policy Data Elements” page, which requires you to enter 5 key data elements before going forward.

## Link Data Information/Key Policy Data Elements

The 5 key data elements—the “Link Data”—are the key information that ties all the pages to the transaction, and the transactions to the policy. The CDX PEEP pages are similar to each of the WCPOLS records. Once entered, the “Link Data” is used to identify and retrieve specific policies and policy transactions. The “Link Data” will be viewable near the top of each page.

Note: Make sure the “Carrier Number”, “Policy Number” and “Policy Effective Date” are correct before saving because, if the data is not correct, the transaction might be excluded from search results. Also, once the data is saved it can be difficult to change and may cause other problems.

[Back To Transaction List](#)   [Search Results](#)

**Link Data Information/Key Policy Data Elements -**

Carrier Number	Policy Number	Policy Effective Date(MMDDYY)	Transaction Code	Trans Issue Date(MMDDYY)
<input type="text"/>	<input type="text"/>	<input type="text"/>	01 New Policy ▾	<input type="text"/>

[Save](#)   [Save and Next](#)   [Clear Form](#)

The required “Link Data” fields are:

CDX Data Field Label	WCPOLS Data Element	Notes / Instructions
Carrier Number	Carrier Code	
Policy Number	Policy Number Identifier	
Policy Effective Date	Policy Effective Date	MMDDYY
Transaction Code	Transaction Code	Defaults to “01 New Policy”
Trans Issue Date	Transaction Issue Date	MMDDYY - This is usually the current date or the date the transaction was processed in your company’s system.

“Link Data Information/Key Policy Data Elements” with the sample data entered:

[Back To Transaction List](#)   [Search Results](#)

**Link Data Information/Key Policy Data Elements -**

Carrier Number	Policy Number	Policy Effective Date(MMDDYY)	Transaction Code	Trans Issue Date(MMDDYY)
99993	PEEPPOLICYTEST	100119	01 New Policy	100319

[Save](#)   [Save and Next](#)   [Clear Form](#)

The “Link Data” Information is displayed on each page for reference; therefore, any updates or changes made to the “Link Data” fields will change the “Link Data” displayed on each of the pages going forward.

## Information Page

After clicking “Save and Next” on the “Link Data Information/Key Policy Data Elements”, you are automatically navigated to the “Information Page”.

There are 5 navigation tabs at the top of the page. The “Information Page” is underlined indicating this is your current page. The tabs allow for navigation between pages.

Below the policy tabs are the “Link Data” created from the “Link Data Information / Key Policy Data Elements”. You’ll notice there is no “Primary Name”. The “Primary Name” will be entered in the “Policy Record”.

[Back To Link Data](#)   [Search Results](#)

Information Page	Name	Address	Exposure/Premium Info	Endorsement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99993		PEEPPOLICYTEST	100119	01	100319

This page is also referred to as the “Policy Record”, which is the main part of the policy

much like the hard copy policy's Declarations page. The data for the required fields on this page must be entered and saved before data can be saved on other pages.

## Policy Record – Part 1

**Policy Record**

**1**

<input type="text" value="Primary Name of Insured"/> ⓘ <input type="text" value="Phone Number of Insured (IAIABC POC Only)"/> <input type="text" value="Primary Address"/> ⓘ <input type="text" value="City"/> ⓘ <input type="text" value="State"/> ⌵ ⓘ <input type="text" value="Zip (Numbers Only, NO Dashes)"/> ⓘ <input type="text" value="Country (if outside US)"/> <input type="text" value="Foreign Address Code"/> ⌵ <input type="text" value="Geographic Area (if outside US)"/> <input type="text" value="Number of Employees (IAIABC POC Only)"/> <input type="text" value="Standard Industry Code (IAIABC POC Only)"/>  <input type="text" value="FEIN"/> <input type="text" value="Group Coverage Code"/> 0-Non Group Coverage ⌵ (Other Workplaces and Addresses are Collected on Address page) <input type="text" value="Legal Nature Of Insured"/> ⌵ <input type="text" value="Prior Policy Number"/>	<input type="text" value="Producer Name"/> <input type="text" value="Producer Address"/> <input type="text" value="City"/> <input type="text" value="State"/> ⌵ <input type="text" value="Zip (Numbers Only, NO Dashes)"/> <input type="text" value="Issuing Address"/> <input type="text" value="Address"/> <input type="text" value="City"/> <input type="text" value="State"/> ⌵ <input type="text" value="Zip (Numbers Only, NO Dashes)"/>  <input type="text" value="Text For Other"/> <input type="text" value="Business Segment Identifier"/>
---	--

The “Policy Record – Part 1” includes the following data fields:

CDX Data Field Label	WCPOLS Data Element	Notes / Instructions
Primary Name of Insured	Name of Insured	
Phone Number of Insured (IAIABC POC Only)	Phone Number of Insured	Numbers Only, No Dashes
Primary Address	Address–Street	Mailing Address of the Insured
City	Address-City	
State	Address-State	Dropdown - See Appendix A
Zip	Address–Zip Code	Numbers Only, No Dashes
Country	Country Code	If outside the US
Foreign Address	Foreign Address Indicator	Dropdown
Geographic Area	Geographic Area	If outside the US
Number of Employees (IAIABC POC Only)	Number of Employees	

Standard Industry Code (IAIABC POC Only)	Industry Code	
Producer Name	Name of Producer	
Address	Address-Street	Mailing Address of the Producer
City	Address-City	
State	Address-State	Dropdown - See Appendix A
Zip	Address-Zip Code	Numbers Only, No Dashes

**Issuing Address**

Address	Address-Street	Mailing Address of Issuing Carrier
City	Address-City	
State	Address-State	Dropdown - See Appendix A
Zip	Address-Zip Code	Numbers Only, No Dashes
Federal Employer Identification Number (FEIN)	Federal Employer Identification Number (FEIN)	
Coverage Group Code	Group Coverage Status Code	Dropdown - Defaults to "0-Non Group Coverage"
Legal Nature of Insured	Legal Nature of Insured Code	Dropdown
Text for Other	Text for "Other" Legal Nature of Insured	Field used when "Legal Nature of Insured-99"
Prior Policy Number	Prior Policy Number Identifier	
Business Segment Identifier	Business Segment Identifier	

Additional Named Insureds and / or Workplace Addresses are collected on "Name" and "Address" pages respectively.

Once the data has been entered for the sample policy transaction:

Run edits

### Policy Record

1

Primary Name of Insured

Phone Number of Insured (IAIABC POC Only)

Primary Address

City

State

Zip (Numbers Only, NO Dashes)

Country (if outside US)

Foreign Address Code

Geographic Area (if outside US)

Number of Employees (IAIABC POC Only)

Standard Industry Code (IAIABC POC Only)

Producer Name

Producer Address

City

State

Zip (Numbers Only, NO Dashes)

Issuing Address

Address

City

State

Zip (Numbers Only, NO Dashes)

FEIN

Group Coverage Code

(Other Workplaces and Addresses are Collected on Address page)

Legal Nature Of Insured

Prior Policy Number

Text For Other

Business Segment Identifier

## Policy Record - Part 2

2

Policy Expiration Date(MMDDYY)

Experience Rating Code.

Interstate Risk ID Number

### POLICY INDICATORS

Employee Leasing Policy Type

Policy Term

Field Wrap Up

Audit Frequency

Billing Frequency

Type Of Coverage

Retrospective Rated Code

Policy Type ID Code Plan Indicator

Assign Date IAIABC POC States (MMDDYY)

### ORIGINAL POLICY (For Policy Key Change Transaction Only)

Original Policy Number

Original Carrier Code

Original Policy Effective Date(MMDDYY)

The “Policy Record – Part 2” includes the following data fields:

<b>CDX Data Field Label</b>	<b>WCPOLS Data Element</b>	<b>Notes / Instructions</b>
Policy Expiration Date	Policy Expiration Date	MMDDYY
Experience Rating Code	Experience Rating Code	Dropdown
Interstate Risk ID Number	Interstate Risk ID Number	

**Policy Indicators**

Employee Leasing Policy Type	Employee Leasing Policy Type Code	Dropdown - defaults to “1-Non Employee Leasing Policy”
Policy Term	Policy Term Code	Dropdown
Field Wrap Up	Wrap-Up/Owner Controlled Insurance Program (OCIP) Code	Dropdown
Audit Frequency	Audit Frequency Code	Dropdown
Billing Frequency	Billing Frequency Code	Dropdown
Type of Coverage	Type of Coverage ID Code	Dropdown
Retrospective Rated Code	Retrospective Rating Code	Dropdown - defaults to “3-Not Retrospective Rated”
Policy Type ID Code Plan Indicator	Type of Plan ID Code	Dropdown
Assign Date IAIABC POC States	Assignment Date	MMDDYY

**Original Policy (For Policy Key Change Transactions Only)**

Original Policy Number	Original Policy Number Identifier	
Original Carrier Code	Original Carrier Code	
Original Policy Effective Date	Original Policy Effective Date	MMDDYY

The Original Policy (For Policy Key Change Transactions Only) fields are used when creating a “Rewrite”, “Transaction Code”-06.



## Policy Record – Part 3B

The “Policy Record – Part 3B” includes the following data fields:

CDX Data Field Label	WCPOLS Data Element	Notes / Instructions
Accident	Employer Liability Limit Amount – Bodily Injury by Accident – Each Accident Amount	
Policy Limit	Employer Liability Limit Amount – Bodily Injury by Disease – Policy Limit Amount	
Each Employee	Employer Liability Limit Amount – Bodily Injury by Disease – Each Employee Amount	

Once the data has been entered for the sample policy transaction:

**3B** POLICY LIMITS

Accident	<input type="text"/>
Policy Limit	<input type="text"/>
Each Employee	<input type="text"/>

**3B** POLICY LIMITS

Accident	<input type="text" value="500000"/>
Policy Limit	<input type="text" value="500000"/>
Each Employee	<input type="text" value="500000"/>



Once the data have been entered for the sample policy transaction:

**4** POLICY MINIMUM

State

Amount

Deposit Premium  Total Est. Std. Premium

Once all the data has been entered, click “Save and Next”.

*NOTE: "Reset Form" button only resets the changes made on the screen prior to saving, and clears the drop down boxes.*

Clicking “Save and Next” automatically takes you to the “Name” page once the “Policy Record” information has been entered.

## Name Page

If navigating directly to the “Name Page” without entering the “Primary Named Insured” on the “Information Page”, no name will be displayed.

Currently Existing Names

There Are No Names Currently Added to This Policy

Using the same sample policy, navigating to the “Name Page” displays the “Primary Named Insured” that was entered on the “Information Page”. Also displayed are the “Name Code”, “Link ID”, “Continuation Sequence #”, “State Sequence #” and a “Delete” column. You cannot delete the “Primary Name”.

Information Page	Name	Address	Exposure/Premium Info	Endorsement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99993	PRIMARY NAME	PEEPOLICYTEST	100119	01	100319

Currently Existing Names

Name of Insured	Name Code	Link ID	Continuation Sequence #	State Sequence #	Delete
PRIMARY NAME	1	001	001	01	

To complete the details of the “Primary Name” click on the “Primary Name” under the “Name of Insured” column. This will navigate you to the “Name Record” page.

On the “Name Record” page, you will notice the “Name of Insured” and the “Federal Employer Identification Number (FEIN)” were both transferred from the “Policy Record” on the “Information Page”.

## Name Record

Type of Name	1-Personal			
Name of Insured (If personal name, format as last name, first name, MI)	PRIMARY NAME			
Federal Employer Identification Number (FEIN)	55555555			
Professional Employer Organization or Client Company Code				
Legal Nature of Entity Code				
State Code for Unemployment		State Unemployment Number		
State Code for Unemployment		State Unemployment Number		
State Code for Unemployment		State Unemployment Number		
Text For Other Legal Nature of Entity		Name Link Counter ID	00	
Policy Changes Effective Date (MMDDYY)		Policy Changes Expiration Date (MMDDYY)		

Likewise, if you want to add an additional insured name, click the “Add New Name” button. Both of these actions will navigate you to the “Name Record” page.

[Back to Name List](#)

## Name Record

Type of Name	1-Personal			
Name of Insured (If personal name, format as last name, first name, MI)				
Federal Employer Identification Number (FEIN)				
Professional Employer Organization or Client Company Code				
Legal Nature of Entity Code				
State Code for Unemployment		State Unemployment Number		
State Code for Unemployment		State Unemployment Number		
State Code for Unemployment		State Unemployment Number		
Text For Other Legal Nature of Entity		Name Link Counter ID	00	
Policy Changes Effective Date (MMDDYY)		Policy Changes Expiration Date (MMDDYY)		

The “Name Record” includes the following data fields:

<b>CDX Data Field Label</b>	<b>WCPOLS Data Element</b>	<b>Notes / Instructions</b>
Type of Name Code	Name Type Code	Dropdown – defaults to “1-Personal”
Name of Insured	Name of Insured	If a personal name, format it as last name, first name, middle name or initial.
Federal Employer Identification Number (FEIN)	Federal Employer Identification Number (FEIN)	
Professional Employer Organization or Client Company Code	Professional Employer Organization or Client Company Code	Dropdown
Legal Nature of Entity Code	Legal Nature of Entity Code	Dropdown
State Code for Unemployment	State Code	Dropdown
State Unemployment Number	State Unemployment Number	
State Code for Unemployment	State Code	Dropdown
State Unemployment Number	State Unemployment Number	
State Code for Unemployment	State Code	Dropdown
State Unemployment Number	State Unemployment Number	
Text For Other Legal Nature of Entity		Used when “Legal Nature of Entity Code” is “99”
Name Link Counter ID	Name Link Counter Identifier	Defaults to “00”
Policy Changes Effective Date	Policy Change Effective Date	MMDDYY
Policy Changes Expiration Date	Policy Change Expiration Date	MMDDYY

Once the data has been entered for the sample policy transaction, it will appear as follows:

### Name Record

Type of Name	2-Commercial		
Name of Insured (If personal name, format as last name, first name, MI)	Employer name 3		
Federal Employer Identification Number (FEIN)	666666666		
Professional Employer Organization or Client Company Code			
Legal Nature of Entity Code	03-Corporation		
State Code for Unemployment		State Unemployment Number	3333333333
State Code for Unemployment		State Unemployment Number	
State Code for Unemployment		State Unemployment Number	
Text For Other Legal Nature of Entity		Name Link Counter ID	00
Policy Changes Effective Date (MMDDYY)		Policy Changes Expiration Date (MMDDYY)	

Once all the data has been entered, there are three different ways to save the “Name Record” data.

Clicking on “Save” saves the data you entered and returns you to the “Name” page list of names.

Clicking on “Save and New” saves the data and opens a new “Name Record” with a new “Name Link Code”.

Clicking on “Save and Continue” saves the data and opens a new “Name Record” with the same “Name Link Code”, but increments up the “Continuation Sequence Number” so you can report a name longer than 90 characters, or report related names. If at any time you want to navigate back to the “Name” page, click on “Back to Name List”.



**Use 'Save and New' changes the name link code**

**Use 'Save and Continue' changes the continuation sequence number**

**Note:** You cannot “Delete” a “Primary Named Insured”—only edit it. If needed, you can “Delete” the additional names listed. To do this, click on “Delete” associated with the name to be removed from the policy. Once a name is deleted, it cannot be recovered.

Information Page	Name	Address	Exposure/Premium Info	Endorsement
------------------	------	---------	-----------------------	-------------

<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

**Currently Existing Names**

Name of Insured	Name Code	Link ID	Continuation Sequence #	State Sequence #	Delete
EMPLOYER NAME 3	2	001	001	01	
EMPLOYEE 5	2	002	001	01	Delete

**Note:** Only 998 name records can be keyed in PEEP. If importing with over 998 names, the additional name records are retained, but cannot be viewed, edited in PEEP, nor included in a submission file.

**Address Record**

When navigating directly to the “Address” page without entering data on the “Information Page” or continuing with the sample policy transaction, there are no addresses displayed. The reason is the “Primary Mailing Address”, “Producer Address” and “Issuing/Service Office Address” were entered on the “Information Page”. These can only be viewed or edited on the “Information Page”.

Information Page	Name	Address	Exposure/Premium Info	Endorsement
------------------	------	---------	-----------------------	-------------

<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

**Currently Existing Addresses**

There Are No Existing Address Entries
---------------------------------------

Add New Address

The “Address” page displays the data entry fields associated with “Address Record”. To enter work locations click on “Add New Address”.

Once the data has been entered for the sample policy transaction:

Information Page	Name	Address	Exposure/Premium Info	Endorsement		
<b>Policy:</b>	<b>Carrier</b> 99993	<b>Primary Name</b> EMPLOYER NAME 3	<b>Policy Number</b> PEEPPOLICYTEST	<b>Effective</b> 100119	<b>Trans Code</b> 01	<b>Issue</b> 100319

[Back to Address List](#)

### Address Record

Type of Address Code	2-Address of a location of operations <input type="text"/>	Foreign Address Code	<input type="text"/>
Name Link Identifier	EMPLOYER NAME 3 - Name Link 001 <input type="text"/>		
Street Address	<input type="text"/>		
City	<input type="text"/>		
State	<input type="text"/>	Postal or Zip Code (no dashes)	<input type="text"/>
Country Code	<input type="text"/>		
Phone Number of Insured (numbers only) (IAIABC POC Only)	<input type="text"/>	Geographic Area (if outside US)	<input type="text"/>
Number of Employees (IAIABC POC Only)	<input type="text"/>	Standard Industry Code (IAIABC POC Only)	<input type="text"/>
Name Link Counter ID	00		
Policy Changes Effective Date	<input type="text"/>	Policy Changes Expiration Date	<input type="text"/>

The “Address Record” includes the following data fields:

CDX Data Field Label	WCPOLS Data Element	Notes / Instructions
Type of Address Code	Address Type Code	Dropdown - defaults to “2-Address of a location of operations”
Foreign Address Code	Foreign Address Indicator	Dropdown
Name Link Identifier		Defaults to the “Primary Named Insured” if one was entered. If “Additional Names” are entered on the “Name” page, this field becomes a dropdown. If no name entered, this field will be blank.
Street Address	Address-Street	
City	Address-City	
State	Address-State	Dropdown - See Appendix A
Postal or Zip Code	Address-Zip Code	Numbers only, no dashes
Country Code	Country Code	Only if outside the US
Phone Number of Insured (IAIABC POC Only)		Numbers only, no dashes

Geographic Area	Geographic Area	If outside the US
Number of Employees (IAIABC POC Only)	Number of Employees	
Standard Industry Code (IAIABC POC Only)	Industry Code	
Name Link Counter ID	Name Link Counter ID	Defaults to "00"
Policy Changes Effective Date	Policy Change Effective Date	MMDDYY
Policy Changes Expiration Date	Policy Change Expiration Date	MMDDYY

### Address Record

Type of Address Code	2-Address of a location of operations	Foreign Address Code	N
Name Link Identifier	EMPLOYER NAME 3 - Name Link 001		
Street Address	123 WORK DR		
City	WORK CITY		
State	MI	Postal or Zip Code (no dashes)	48000
Country Code			
Phone Number of Insured (numbers only) (IAIABC POC Only)	5555555555	Geographic Area (if outside US)	
Number of Employees (IAIABC POC Only)		Standard Industry Code (IAIABC POC Only)	
Name Link Counter ID	00		
Policy Changes Effective Date		Policy Changes Expiration Date	

If you select an address that is currently associated with the policy, the fields will be prepopulated with that address's details. If you are adding a new address, the fields will appear blank.

This page lists the "Address" and "Link ID" for all additional addresses associated with the policy.

To view or edit the details of an existing address, click on the address you wish to change in the "Address" column.

Information Page	Name	Address	Exposure/Premium Info	Endorsement		
<b>Policy:</b>	Carrier 99993	Primary Name EMPLOYER NAME 3	Policy Number PEEPPOLICYTEST	Effective 100119	Trans Code 01	Issue 100319
<b>Currently Existing Addresses</b>						
Address	Link ID	Delete				
123 WORK DR, WORK CITY, MI	001	Delete				

Add New Address

You can delete addresses by clicking the "Delete" of the address you wish to remove

from the policy. Once an address is deleted, it cannot be recovered.

Once all the data has been entered, you have three different ways you can save the address record.

Clicking on “Save” saves the data you entered and returns you to the “Address” page; or, you can click on “Back to Address List” to add another address.



Clicking on “Save and New” saves the data and opens a new “Address” page so you can add an additional new address.

Clicking on “Save and Continue” saves the data and remains on the current address page allowing you to link the address to an additional named insured.

If at any time you want to navigate back to the “Address” page, click “Back to Address List”.



**Use 'Save and New' to add a new address to this policy**

**Use 'Save and Continue' to add additional information to this address**

## Exposure / Premium Info

Navigating to the “Exposure / Premium Info” page is where you can view and enter the Exposures and Premium associated with each state listed in the 3A section of the “Policy Record”.

“Exposures” are the “Class Codes” and associated “Manual / Charged Rates”.

“Premiums” are the “Estimated State Premium Amount” as well as the “Experience Modification” (if applicable).

Navigating directly to the “Exposure / Premium Info” page when there are no states entered on the “Policy Record” page in the 3A section:

### Exposure/Premium Info

There Are No Currently Existing Exposures

The states under the “State” column are populated from the 3A section of the “Policy Record”. The “Exposures” and “Premiums” for each state listed are entered separately.

Information Page	Name	Address	Exposure/Premium Info	Endorsement
------------------	------	---------	-----------------------	-------------

Policy:	Carrier	Primary Name	Policy Number	Effective	Trans Code	Issue
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

### Exposure/Premium Info

State	Exposures	Premium
MI	Select	Select
OH	Select	Select
PA	Select	Select

## Exposures

Clicking on “Select” under the “Exposures” column for a specific state navigates you to the “Currently Existing Exposures State Code” followed by the state selected. You will see a note indicating “There Are No Currently Existing Exposures”.

Information Page	Name	Address	Exposure/Premium Info	Endorsement
------------------	------	---------	-----------------------	-------------

Policy:	Carrier	Primary Name	Policy Number	Effective	Trans Code	Issue
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

[Back to Exposure/Premium Info](#)

### Currently Existing Exposures State Code - MI

There Are No Currently Existing Exposures

[Add Class Code](#)

To add new exposures, click on “Add Class Code”. This will navigate you the “Exposure/Premium Record” page.

### Exposure/Premium Record - MI

<div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Classification Code <input style="width: 80%;" type="text"/></div> <div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Manual Charged Rate (Enter the decimal) <input style="width: 80%; text-align: center;" type="text" value="0"/></div>	<div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Estimated Exposure Amount (Enter whole dollars only) <input style="width: 80%;" type="text"/></div>	<div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Estimated Premium Amount (Enter whole dollars only) <input style="width: 80%;" type="text"/></div>
<div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Exposure Period Effective Date (MMDDYY) <input style="width: 80%;" type="text" value="000000"/></div> <div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Name/Address/Exposure Link <input style="width: 80%;" type="text"/></div>	<div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Exposure ACT/Exposure Coverage Code <input style="width: 80%;" type="text" value="00-For Use With Statistical Codes"/></div>	
<div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Policy Changes Effective Date (MMDDYY) <input style="width: 80%;" type="text"/></div>	<div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Policy Changes Expiration Date (MMDDYY) <input style="width: 80%;" type="text"/></div>	
	<div style="border: 1px solid #ccc; background-color: #e6f2ff; padding: 2px; margin-bottom: 5px;">Classification Use Code (ISO ONLY) <input style="width: 80%;" type="text"/></div>	

**Note:** Exposure information is state specific and may only be entered or displayed by state. Displayed fields also vary by state.

The “Exposure/Premium Record” includes the following data fields:

CDX Data Field Label	WCPOLS Data Element	Notes / Instructions
Classification Code	Classification Code	
Estimated Exposure Amount	Estimated Exposure Amount	Enter whole dollars only
Manual Charged Rate	Manual/Charged Rate	Enter the decimal Defaults to “0”
Estimated Premium Amount	Estimated Premium Amount	Enter whole dollars only
Exposure Period Code	Exposure Period Code	Dropdown – defaults to “1-Annual”
Exposure Period Effective Date	Exposure Period Effective Date	MMDDYY Defaults to all zeroes
Exposure ACT/Coverage Code	Exposure ACT/ Exposure Coverage Code	Dropdown – defaults to “00-For Use With Statistical Codes”
Name/Address/Exposure Link	Exposure Record Link for Exposure Code	Dropdown list shows the list of addresses entered for that policy. You can select an address from the list to link it to the exposure.
Name Link Counter ID	Name Link Counter Identifier	

Classification Wording Suffix	Classification Wording Suffix	
Number of Pieces of Apparatus (NJ Only)	Number of Pieces of Apparatus	
Number of Volunteers (NJ Only)	Number of Volunteers	
Policy Surcharge Factor (NJ Only)	Policy Surcharge Factor	(e.g., report 4.65% as 0000000465)
Plan Premium Adjustment Factor (NJ Only)	Plan Premium Adjustment Factor	Assume x.xx
Classification Wording	Classification Wording	
Policy Changes Effective Date	Policy Change Effective Date	MMDDYY
Policy Changes Expiration Date	Policy Change Expiration Date	MMDDYY
Classification Use Code (ISO ONLY)	Classification Use Code	

Once data has been entered for the sample policy transaction:  
**Exposure/Premium Record - MI**

Classification Code	<input type="text" value="8810"/>	Estimated Exposure Amount	<input type="text" value="40000"/>	
		(Enter whole dollars only)		
Manual Charged Rate	<input type="text" value="0.22"/>	Estimated Premium Amount	<input type="text" value="88"/>	
(Enter the decimal)		(Enter whole dollars only)		
Exposure Period Effective Date	<input type="text" value="100119"/>	Exposure ACT/Exposure Coverage Code	<input type="text" value="01-State Act or Federal Act Excluding"/>	
(MMDDYY)				
Name/Address/Exposure Link	<input type="text" value="2255 PRIMARY ADDRESS PRIMARY"/>			
Policy Changes Effective Date	<input type="text" value="000000"/>	Policy Changes Expiration Date	<input type="text" value="000000"/>	
(MMDDYY)		(MMDDYY)		
		Classification Use Code (ISO ONLY)	<input type="text"/>	

Once all the data has been entered, you have three different ways you can save the exposure record.

**Use 'Save and New' to enter an Additional Class Code**

**Use 'Save and Continue' to enter an Additional 'Name/Address/Exposure Link' for the same Class Code**

Clicking on "Save" saves the data you entered and returns you to the "Currently Existing Exposures State Code" List.

Clicking on "Save and New" saves the data and opens a new "Exposure / Premium Record" page where you can add additional "Class Code" or "Statistical Codes".

Clicking on “Save and Continue” saves the data and allows you to enter an additional “Name/Address/Exposure Link” for the same “Class Code”.

[Back to Exposure/Premium Info](#)

**Currently Existing Exposures State Code - MI**

Exposure	Classification Code	Rate	Premium	Exposure Effective Date	Delete
40000	8810	0.22	88	100119	Delete
131409	7380	1.25	1643	100119	Delete

[Add Class Code](#)

Returning to the “Currently Existing Exposures State Code” List. You have four options:

1 – You can choose to delete an exposure by clicking on “Delete” associated with that exposure to remove it from the policy. **Note:** Once an exposure is deleted, it cannot be recovered.

2 – You can view or edit the details of an existing exposure record by clicking on the specific “Class Code” you wish to view or change in the “Classification Code” column. Clicking on “Class Code” will navigate you to “Exposure / Premium Record” where the fields will be prepopulated with that exposure’s details.

3 – You can click on “Add Class Code” to add additional “Class Codes”. This will navigate you to “Exposure / Premium Record” where the fields will appear blank.

4 – You can click “Back to Exposure / Premium Info” to return to the “Exposure / Premium Info” page.

**Premium**

Information Page	Name	Address	Exposure/Premium Info	Endorsement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

**Exposure/Premium Info**

State	Exposures	Premium
MI	Select	Select
OH	Select	Select
PA	Select	Select

From the list of states listed under the “Exposure / Premium Info” page, you can click on “Select” under the “Premium” column for a specific state.

Information Page	Name	Address	Exposure/Premium Info	Endorsement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

[Back to Exposure/Premium Info](#)

**Currently Existing Premiums State Code - MI**

Carrier #	Experience Mod Type	Experience Modification Factor/Merit Rating Factor	Delete
Premium Information is not Completed <a href="#">Click here to complete</a>			Cannot Be Deleted Exposures Exist for this State

**NOTE:** Before deleting a state’s premium record, please refer to the Users Guide.

[Add Premium](#)

You will notice on this page there is a note indicating “Premium Information is Not

Completed”, so start by clicking on “Click here to complete”. This will navigate you to the “Additional Premium Information” record of the state you selected.

**Note:** Premium information is state specific, which means some fields are only applicable to that DCO. Required fields also vary by state. For example, below are the “Additional Premium Information” pages for MN and WI.

MI “Additional Premium Information” page:

### Additional Premium Information - MI

State Add/Delete Code	<input type="text"/>	Independent Rating Bureau Risk ID Number/ File Number/Account Number	<input type="text"/>
Carrier Code	<input type="text"/>	Experience Modification Factor/Merit Rating Factor (assume x.xxx)	<input type="text" value="1000"/>
Experience Mod Status	1-Final modification factor for policy pe <input type="text"/>		
Type of Premium Deviation	<input type="text"/>	Estimated State Standard Premium Total (Enter whole dollars only)	<input type="text"/>
Other Individual Risk Rating Factor (assume x.xxx)	<input type="text" value="1000"/>	Insurer Premium Deviation Factor (assume x.xxx)	<input type="text" value="1000"/>
Expense Constant Amount (Enter whole dollars only)	<input type="text"/>	Loss Constant Amount (Enter whole dollars only)	<input type="text"/>
Premium Discount Amount (Enter whole dollars only)	<input type="text"/>		
Anniversary Rating Date(MMDDYY)	<input type="text"/>	Experience Modification Effective Date (MMDDYY)	<input type="text"/>
Policy Changes Effective Date (MMDDYY)	<input type="text"/>	Policy Changes Expiration Date (MMDDYY)	<input type="text"/>

The “Additional Premium Information” page includes the following data fields:

CDX Data Field Label	WCPOLS Data Element	Notes / Instructions
State Add/Delete Code		Dropdown - Used when adding or deleting a state from the policy using a “Transaction Code”-15. <b>Note:</b> If you are deleting a DCO state - check with that DCO. Some DCOs have very specific requirements for deleting their state.
Independent Rating Bureau Risk ID Number/File Number/Account Number	Independent DCO Risk ID Number/ File Number/ Account Number	
Carrier Code	Carrier Code	"Carrier Code" required if the "Carrier Code" differs from the primary “Carrier Code” in the “Link Data”.
Experience Modification Factor/Merit Rating Factor	Experience Modification Factor/Merit Rating Factor	Assume X.XXX Defaults to “0000” or “1000” depending on the DCO
Experience Modification Status	Experience Modification Status Code	Dropdown – defaults to “1-Final modification factor for policy period”
Experience Mod Type	Experience Modification Plan Type Code	Dropdown
Type of Premium Deviation	Type of Premium Deviation Code	Dropdown
Estimated State Standard Premium Total	Estimated State Standard Premium Total	Enter whole dollars only
Other Individual Risk Rating Factor	Other Individual Risk Rating Factor	Assume X.XXX Defaults to “1000”
Insurer Premium Deviation Factor	Insurer Premium Deviation Factor	Assume X.XXX Defaults to “1000”
Expense Constant Amount	Expense Constant Amount	Enter whole dollars only
Loss Constant Amount	Loss Constant Amount	Enter whole dollars only
Premium Discount Amount	Premium Discount Amount	Enter whole dollars only
Premium Adjustment Period	Premium Adjustment Period	Dropdown – defaults to “1-Annual”
Prorated Expense Constant Reason Code (WI only)	Pro-Rated Expense Constant Amount Reason Code	Dropdown

Prorated Minimum Premium Reason Code (WI only)	Pro-Rated Minimum Premium Amount Reason Code	Dropdown
Reason State Was Added Reason Code (WI only)	Reason State Was Added To The Policy Code	Dropdown
Experience Modification Effective Date (MMDDYY)	Experience Modification Effective Date	
Anniversary Rating Date	Anniversary Rating Date	MMDDYY – Contact the DCO for use of this field.
Assigned Risk Adjustment Program (ARAP)	Assigned Risk Adjustment Program (ARAP) Factor	
Type of Non-Standard ID Code	Type of Non-Standard ID Code	Dropdown – defaults to “01-Non-Standard Codes does not apply”
Policy Changes Effective Date	Policy Change Effective Date	MMDDYY
Policy Changes Expiration Date	Policy Change Expiration Date	MMDDYY

“Carrier Code” - If the “Carrier Code” is the same as the “Link Data”, leave it blank. It will display as “0” on the “Currently Existing Premiums State Code” page.

“State Add/Delete Code” - This field should only be used with a “Transaction Code = 15”.

**Note:** If you are deleting a DCO state - check with that DCO. Some DCOs have very specific requirements for deleting their state.

**Note:** As of May 1, 2017, the Anniversary Rating Date field was made “Not Applicable” for several DCOs. Contact the DCO for their applicability.

Once data has been entered for the sample policy transaction:

**Additional Premium Information - MI**

State Add/Delete Code

Independent Rating Bureau Risk ID Number/ File Number/Account Number

Carrier Code

Experience Modification Factor/Merit Rating Factor (assume x.xxx)

Experience Mod Status

Type of Premium Deviation

Estimated State Standard Premium Total (Enter whole dollars only)

Other Individual Risk Rating Factor (assume x.xxx)

Insurer Premium Deviation Factor (assume x.xxx)

Expense Constant Amount (Enter whole dollars only)

Loss Constant Amount (Enter whole dollars only)

Premium Discount Amount (Enter whole dollars only)

Anniversary Rating Date(MMDDYY)

Experience Modification Effective Date (MMDDYY)

Policy Changes Effective Date (MMDDYY)

Policy Changes Expiration Date (MMDDYY)

Once all the detail has been completed, the only option is to “Save”.

**Save**

Clicking “Save” returns you to the “Currently Existing Premiums State Code” for the specific state.

[Back to Exposure/Premium Info](#)

**Currently Existing Premiums State Code - MI**

Carrier #	Experience Mod Type	Experience Modification Factor/Merit Rating Factor	Delete
99993		0950	Cannot Be Deleted Exposures Exist for this State
0		0950	Delete

NOTE: Before deleting a state's premium record, please refer to the Users Guide.

[Add Premium](#)

This page offers 3 options:

- 1 - If additional premium detail is needed for this state, you can click on “Add Premium”, which will navigate you back to the “Additional Premium Information” for that state.
- 2 - If the premium information needs to be edited, click on the “Carrier Code Number” or the “0” under the “Carrier #” column associated with the selected “State Premium” record you want to edit or change.

**Note:** The “Carrier Code” is only required if the carrier for the state reported differs from the primary Carrier in the “Link Data”.

- 3 - If the “Delete” option is available, you can click on “Delete” to eliminate the record. This option will only be available if there are no exposures existing for the state. Once a premium is deleted, it cannot be recovered.

**Note:** Exposure exists for each of the states reported in Section “3A” on the “Information Page”. If you want to delete the premium and the transaction has not been submitted, you can remove the state from Section “3A” on the “Information Page”. If the transaction has been submitted, you can remove the state from section “3A” on the “Information Page” using “Transaction Code”-15.

Click on “Back to Exposure / Premium Info” to return to the “Exposure / Premium” page.

Information Page		Name	Address	Exposure/Premium Info	Endorsement	
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319
<b>Exposure/Premium Info</b>						
State	Exposures			Premium		
MI	Select			Select		
OH	Select			Select		
PA	Select			Select		

## Endorsements

To add endorsements to the policy, navigate to the “Endorsement” page. This page is used for both listing the Endorsement Forms from Item 3D, as well as for creating variable detail records for specific endorsements.

The system automatically defaults to 3D-Endorsements, which is a dropdown.

Information Page	Name	Address	Exposure/Premium Info	Endorsement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

**Currently Existing Endorsements**

Order By Endorsement Name

Order By Endorsement #

Please Select Endorsement

3D-Endorsements

Create New Endorsement

There Are No Currently Existing Endorsements

### 3D-Endorsements dropdown

Clicking on “Create New Endorsement” navigates you to the blank “3D-Endorsement” page. This page allows you to enter all endorsements applicable to the policy, similar to Part-3D of a hard copy policy. Since it is similar to Part-3D of the policy, all endorsements and schedules applicable to the policy should be listed. Each endorsement line entered is representing the reporting of a single endorsement or schedule form.

The “State Code” on this page defaults to “ALL”, which will identify the listed endorsements as applying to all states. Since not all endorsements are applicable in every state, you have the option to create a “3D Endorsement” list for a specific state by selecting a “State Code” from the dropdown that corresponds with a state in item 3A of the policy.

When the list is complete for the state, click on “Save”, which will return you to the “Currently Existing Endorsements” page; or, click “Save & Add Add'l States to these Endorsements”, which duplicates the list and gives you the ability to select another state as well as add or delete endorsements that are valid for that state. When returning to the “Currently Existing Endorsements” page, you should see a separate list of endorsements for each state in which you created a list.

**Note:** If you need more spaces for endorsement form numbers, simply create an additional “3D Endorsement” record by clicking “Create New Endorsement” on the “Endorsement” page.



Once the endorsement is located, such as “Deductible Endorsement” (as seen below), you can click on “Create New Endorsement”.

Policy:	Carrier	Primary Name	Policy Number	Effective	Trans Code	Issue
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

**Currently Existing Endorsements**

Order By Endorsement Name

Order By Endorsement #

Please Select Endorsement

- Deductible Endorsement

[Create New Endorsement](#)

There Are No Currently Existing Endorsements

This will be navigated to that specific detail page in order to enter the data specific to that endorsement. “Endorsement Effective Date” is defaulted to the “Policy Effective Date”, but it can be changed to a different date.

### Deductible Endorsement

State Code	<input type="text"/>	Endorsement Number	<input type="text"/>
Bureau Version Identifier (Edition Identifier)	<input type="text"/>	Carrier Version Identifier	<input type="text"/>
Deductible Type Code	<input type="text"/>	Deductible Percentage	<input type="text"/>
Deductible Amount Per Claim/Accident	<input type="text"/>	Deductible Amount: Aggregate	<input type="text"/>
Premium Reduction Percentage (assume XX.XXX)	<input type="text"/>		
Name of Employer	<input type="text"/>		
Endorsement Effective Date (MMDDYY)	<input type="text" value="100119"/>		

Required Fields

[Save](#)

When you are finished click “Save”. This will return you to the “Currently Existing Endorsements” page.

Policy:	Carrier	Primary Name	Policy Number	Effective	Trans Code	Issue
	99993	EMPLOYER NAME 3	PEEPPOLICYTEST	100119	01	100319

**Currently Existing Endorsements**

Order By Endorsement Name

Order By Endorsement #

Please Select Endorsement

3D-Endorsements

[Create New Endorsement](#)

Endorsement Name	Record Type	State Code	Endorsement Number	Bureau Version ID	First Carrier Version ID	Endorsement Effective Date	Delete
3D-Endorsements	07	ALL		B		000000	Delete
3D-Endorsements	07	MI				000000	Delete
Deductible Endorsement	43	MI	WC000803			191001	Delete
Michigan Workers Compensation Placement Facility	GA	MI	WC210306			000000	Delete
- Limits of Liability Endorsement Record							

This page lists the following information for each existing endorsement record:

- Endorsement Name
- Record Type
- State Code
- Endorsement Number
- Bureau Version ID
- First Carrier Version ID
- Endorsement Effective Date
- Delete

**Note:** The specific endorsement numbers are not displayed for “3D-Endorsements”.

To view or edit the details of an existing endorsement listing or variable endorsement, click on the specific endorsement under the “Endorsement Name” column. If you want to create a new endorsement, select the endorsement name you would like to create in the endorsement dropdown and click the “Create New Endorsement” as explained above.

You can delete the “3D-Endorsements” list or a variable endorsement by clicking on “Delete” to remove the endorsement listing or variable endorsement from the policy. Once an endorsement listing or variable endorsement has been deleted, it cannot be recovered.

## Run Edits

When all of the data needed for the policy transaction has been completed, you have the option of validating the transaction within the transaction, or as part of a batch. To validate as part of a batch, see the “Validation” section. To validate within the transaction, you will navigate to the “Information Page” to “Run Edits”. Just below the “Link Data” and above the “Policy Record” is the button to “Run Edits”. Click on “Run Edits”.



After this you will be asked to select the “State” for which you would like to initiate the edit process. This list of states is populated based on the information you provided in Section 3A on the Information Page. This will also be the state the policy transaction will eventually be submitted to.



If any errors are found in your records, they are displayed with the following information for each error:

- Error Number
- Policy Number
- Transaction Code
- Record Type
- Field Description
- Field Value
- Error Description

### Edit Errors For MI

Error Number	Policy Number	Transaction Code	Record Type	Field Description	Field Value	Error Description
1	JTF8012116	08	38 - Partners, Officers and Others Exclusion	Name of Person To Be Excluded	HOWERZYL, DAN MANAGER/MEMBER	Field Value must be Alpha Numeric

[Modify Policy](#)

To fix these edit errors click on “Modify Policy”, which will navigate you back to the “Link Data Information /Key Policy Data Elements” for that specific policy. Then click “Save and

Next” to navigate to “Information Page” where you can begin making edit changes to the data records.

**Link Data Information/Key Policy Data Elements - JTP8012116**

Carrier Number	Policy Number	Policy Effective Date(MMDDYY)	Transaction Code	Trans Issue Date(MMDDYY)
99993	JTP8012116	053016	08 Rating Change	032416

Some data elements have specific edits on that page which will stop you from saving the record.

Navigating to a different page will delete the data entered on the page with the error.

Please correct the following errors:

- ▲ Primary Address - Postal or Zip Code Should Not be empty

**Policy Record**

1	Primary Name of Insured	AARDVARK WINDOW CLEANING	Producer Name	J.B. HARRISON INSURANCE AGE
	Phone Number of Insured (IAIABC POC Only)	6163631006	Producer Address	PO BOX 462
	Primary Address	720 HOUSEMAN AVE NE	City	ALTO
	City	GRAND RAPIDS	State	MI
	State	MI	Zip (Numbers Only, NO Dashes)	493020462
	Zip (Numbers Only, NO Dashes)		Issuing Address	
			Address	P. O. BOX 40790

After corrections have been made, and policy transactions have been saved, you can elect to “Run Edits” again. If the policy transaction is error free, an “Edits Passed” message will appear.

**Note:** PEEP edits are very basic and individual DCOs will perform additional edits as determined by their business needs.

**Edit Errors For MI**

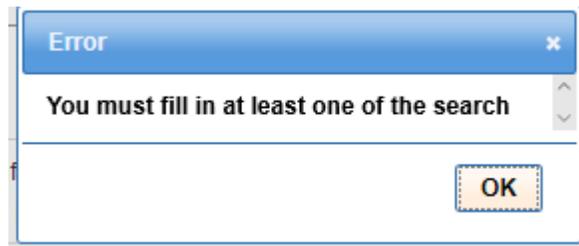
Error Number	Policy Number	Transaction Code	Record Type	Field Description	Field Value	Error Description
Edits Passed						

# Search



The “Search” from the PEEP HOME page is the method used to locate an existing policy or transaction. You must enter at least one search criteria other than “Carrier Code”.

When “Carrier Code” is used as the search criteria, at least one other search criteria is required.



To modify the search, you can update the search criteria and click on “Search” again, or click on “Reset” to clear the fields and start a new search.

Once you have entered the information, click on “Search” and the search will be initiated.

## Policy Search(\*)

Carrier Code:   
Policy Number:   
Policy Effective date (MMDDYY):   
Date Submitted (MM/DD/YYYY):   
Status:   
Transaction:

(\*) Note: The CDX retention policy is to delete all data for any policies for which any submitted data (that is, the policy and all transactions associated with the policy) has an expiration date that is older than 2 years and an entry date older than 2 years. The system is purged daily.

The “Search” criteria are:

- Carrier Code
- Policy Number
- Policy Effective Date (MMDDYY)
- Date Submitted (MM/DD/YYYY) - Date the transaction was included in a submission file
- Status - dropdown – defaults to “All”
- Transaction - dropdown – defaults to “All”

**Note:** In order to limit the results of a search, you should enter as much information about a

particular transaction as possible.

**Note:** Per the CDX Data Retention Policy, please remember that a policy and its related transactions with a “Policy Expiration Date” older than two years, and an entry date older than two years, will be deleted from PEEP.

Policy records are deleted on a daily basis.

If your “Search” obtains no results, the policy may have been deleted from PEEP and will need to be added back into the system; or, if the policy was archived, it can be reimported back into PEEP. See “Import Sub File” section.

Clicking on “Add Policy” navigates you to the “Link Data Information/Key Policy Data Elements” page where you can create a policy transaction from scratch. See “Create a Policy Transaction” section.

Once the “Search” has been initiated, you will see the following pop-up.

**Please wait, loading policies...**

Once a search is successfully completed, a list of the policies corresponding with the search criteria will be displayed.

### Policy Search(\*)

Carrier Code:   
Policy Number:   
Policy Effective date (MMDDYY):   
Date Submitted (MM/DD/YYYY):   
Status:   
Transaction:

(\*) Note: The CDX retention policy is to delete all data for any policies for which any submitted data (that is, the policy and all transactions associated with the policy) has an expiration date that is older than 2 years and an entry date older than 2 years. The system is purged daily.

View Transactions	Policy Number	Carrier Code	Policy Effective Date	Primary Name	Date Submitted
<a href="#">View</a>	PEPPOLICYTEST	99993	100119	EMPLOYER NAME 3	

Page  of 1 (1 items)

The results page displays:

- View Transactions
- Policy Number
- Carrier Code

- Policy Effective Date
- Primary Name
- Date Submitted

In order to view transactions associated with a policy in the list, you will need to click on “View” under the “View Transactions” column for the corresponding policy.

Clicking on “View” will navigate you to the “Transaction List for Policy” for that specific policy.

### Transaction List for Policy - PEEPPOLICYTEST

Transaction Code	Batch ID	Copy	Status	Force	Trans Issue Date (MMDDYY)	Policy Effective Date (MMDDYY)	Delete Transaction
01-New Policy		Copy	Passed		100319	100119	Delete
01-New Policy		Copy	Work in Progress		100419	100119	Delete
03-Endorsements		Copy	Work in Progress		100419	100119	Delete
05-Cancellation/Reinstatement		Copy	Work in Progress		100419	100119	Delete

[First](#)
[Previous](#)
[Goto](#)
 of 1 (4 items)
 [Next](#)
[Last](#)

[Add New Transaction](#)

The following information is displayed for each transaction in the “Transaction List for Policy” list:

- Transaction Code
- Batch ID - System created imported batch number
- Copy
- Status
- Force
- Transaction Issue Date
- Policy Effective Date
- Delete Transaction

There are options are available:

- **Transaction Code:** You can click on the actual transaction under the “Transaction Code” column. You will notice all of the “Link Data” will be retained. Changing the “Transaction Code” and/or the “Transaction Issue Date” will **not** create a new transaction. Clicking on “Transaction Code” is best used if updating a transaction that has a status of “Work in Progress”. This is not a copy feature. The status must be “Work in Progress”, “Passed”, “Failed” or “Forced” in order for the policy transaction to be changed. Additionally, you cannot change a transaction that has a status of “Submitted”.
- **Copy:** Clicking “Copy” next to a specific transaction will navigate you to the “Link Data Information/Key Policy Data Elements” page. The “Carrier Number”, “Policy Number” and “Policy Effective Date” will be pre-filled. The “Transaction Code” will be pre-filled, but you can change it to the “Transaction Code” you need. The “Trans

(Transaction) Issue Date” will be blank. The policy details previously entered will also be retained. Therefore, once the “Link Data” is updated and saved, you can then update the existing policy information. The new “Link Data” will be displayed on the top of all subsequent entry pages for the transaction.

- **Force:** The “Force” option, will allow transactions with errors to be submitted to the specific DCO with those errors.
- **Delete:** A transaction may be deleted by selecting the “Delete” associated with the transaction you wish to delete. There will be a pop-up in which you must confirm you want to delete the entry. Once confirmed, the transaction will be removed from CDX permanently and cannot be retrieved. The option to “Delete” a transaction from CDX is not available for “Submitted” transactions.
- **Add New Transaction:** Clicking on “Add New Transaction” will navigate you to the “Link Data Information/Key Policy Data Elements” page. The policy information will be pre-filled. You will need to select a “Transaction Code” and enter the “Issue Date”.

## Change Transactions

To create a “Change Transaction” from an existing policy, you will need to first search for the policy using the “Search” function. See the “Policy Search” section for more information on policy searches.

Once the policy you wish to change has been located, click on “Add New Transaction” to create a new change transaction for the policy. This will navigate you to the “Link Data Information/Key Policy Elements” page.

Select the “Change Transaction Code” for the endorsement from the “Transaction Code” dropdown list. Next, enter the “Trans (Transaction) Issue Date” for the date the policy change was issued. Then click “Save and Next”.

**Link Data Information/Key Policy Data Elements - PEEPTTESTPOLICY**

Carrier Number	Policy Number	Policy Effective Date(MMDDYY)	Transaction Code	Trans Issue Date(MMDDYY)
99901	PEEPTTESTPOLICY	060319	08 Rating Change	061019

This navigates you to the “Information Page”, also called the “Policy Record”. The data on the following transaction pages will be prepopulated from the last policy transaction for these policy keys. You will notice the “Link Data” now displays the new “Trans (Transaction) Code” and the new Transaction Issue Date “Issue”.

Information Page	Name	Address	Exposure/Premium Info	Endorsement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901	PRIMARY NAME	PEEPTTESTPOLICY	060319	08	061019

You can navigate between the different pages to edit any of the policy information that needs to be updated, added, or deleted for the policy. When changes are made to a page, the “Policy Change Effective Date” and “Policy Change Expiration Date” need to be verified.

The “Policy Change Effective Date” and “Policy Change Expiration Date” are prepopulated with all zeroes, which is equal to the “Policy Effective Date” and the “Policy Expiration Date”.

If any of the changes being reported are mid-term changes, the “Policy Change Effective Date” would need to be updated with the effective date of the change. For example, if an “Additional

Named Insured” was being added or changed after the “Policy Effective Date”, the “Policy Change Effective Date” field would be completed with the date of the change.

Name Record			
Type of Name	1-Personal		
Name of Insured (If personal name, format as last name, first name, MI)	INSURED 2 NEW NAME		
Federal Employer Identification Number (FEIN)	333344442		
Professional Employer Organization or Client Company Code			
Legal Nature of Entity Code			
State Code for Unemployment		State Unemployment Number	
State Code for Unemployment		State Unemployment Number	
State Code for Unemployment		State Unemployment Number	
Text For Other Legal Nature of Entity		Name Link Counter ID	00
Policy Changes Effective Date (MMDDYY)	061019	Policy Changes Expiration Date (MMDDYY)	000000

If an “Additional Named Insured” is changed or deleted from the policy, then the “Policy Change Expiration Date” field should include the date the name was endorsed with the change, or deleted from the policy.

**Note:** For more information on “Policy Change Effective/Expiration Dates”, refer to the WCIO Data Reporting Handbook.

### Name Record

Type of Name	2-Commercial <input type="button" value="ⓘ"/>	
Name of Insured (If personal name, format as last name, first name, MI)	INSURED 2 OLD NAME <input type="button" value="ⓘ"/>	
Federal Employer Identification Number (FEIN)	111122223	
Professional Employer Organization or Client Company Code	<input type="text"/>	
Legal Nature of Entity Code	<input type="text"/>	
State Code for Unemployment	<input type="text"/>	State Unemployment Number <input type="text"/>
State Code for Unemployment	<input type="text"/>	State Unemployment Number <input type="text"/>
State Code for Unemployment	<input type="text"/>	State Unemployment Number <input type="text"/>
Text For Other Legal Nature of Entity	<input type="text"/>	Name Link Counter ID <input type="text" value="00"/>
Policy Changes Effective Date (MMDDYY)	000000 <input type="button" value="ⓘ"/>	Policy Changes Expiration Date (MMDDYY)
		061019 <input type="button" value="ⓘ"/>

After all the changes to the policy information have been saved, you can validate the transaction within the transaction, or as part of a batch. To validate as part of a batch, see the “Validation” section. To validate within the transaction, see the “Run Edits” section.

See the “Run Edits” section for more information on edits.

## Add Standalone Endorsement

This transaction is used to report changes to a policy, or provide additional information about a policy, that has been previously issued by submitting the equivalent of a variable data endorsement form without submitting all of the policy data.

To add an endorsement from an existing policy, you will need to first search for the policy using the “Search” function. See the “Policy Search” section for more information on policy searches.

Once the policy you wish to endorse has been located, click on “Add New Transaction” which will navigate you to the “Link Data Information/Key Policy Elements” page.

Select the “03 Endorsement” from the “Transaction Code” dropdown list. Next, enter the “Trans (Transaction) Issue Date” for the date the endorsement was issued. Then click “Save and Next”.

**Note:** “Transaction Code”-03 may not be accepted by all DCOs. Check with the receiving DCO.

Link Data Information/Key Policy Data Elements - PEEPTTESTPOLICY				
Carrier Number	Policy Number	Policy Effective Date(MMDDYY)	Transaction Code	Trans Issue Date(MMDDYY)
<input type="text" value="99901"/>	<input type="text" value="PEEPTTESTPOLICY"/>	<input type="text" value="060319"/>	<input type="text" value="03 Endorsements"/>	<input type="text" value="061919"/>
<input type="button" value="Save"/> <input type="button" value="Save and Next"/> <input type="button" value="Clear Form"/>				

You will be navigated to the “Information Page”, which will require you to enter all the states in which the endorsement is applicable. States are to be entered with the state alphabetical postal abbreviations.

Information Page				Endorsement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901		PEEPTTESTPOLICY	060319	03	061919
<input type="button" value="Run edits"/>						
<b>Enter State Code</b>						
Workers Compensation Insurance: Part One of the policy applies to the Workers Compensation Law of the states listed here: (If you need to delete a state, please refer to the Users Guide)						
<input type="text" value="MN"/>	<input type="text" value="NC"/>	<input type="text" value="NY"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="button" value="Save"/> <input type="button" value="Save and Next"/> <input type="button" value="Reset Form"/>						

Clicking on “Save and Next” will navigate you to the “Endorsement” page, which is also the “Currently Existing Endorsements” page.

Information Page			Endorsement			
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901		PEEPTESTPOLICY	060319	03	061919
<b>Currently Existing Endorsements</b>						
Order By Endorsement Name <input type="radio"/>						
Order By Endorsement # <input checked="" type="radio"/>						
Please Select Endorsement						
WC890605 - Mailing Address of Insured <input type="text"/>						
<input type="button" value="Create New Endorsement"/>						

Use the dropdown list to locate the endorsement you want to create or change, then click on “Create New Endorsement” and you will be navigated to that endorsement’s detail page.

The dropdown list includes endorsement numbers WC840401 through WC890625, which are for making certain types of policy changes.

**Note:** Not all DCOs accept these endorsements, so check with the receiving DCO.

The endorsement below is WC890605 Mailing Address of Insured.

WC890605 Mailing Address of Insured	
Endorsement Number	WC890605 <input type="text"/>
Bureau Version Identifier (Edition Identifier)	<input type="text"/>
Carrier Version Identifier	<input type="text"/>
Revised Type of Address	<input type="text"/>
Type of Address	Type 1 Address <input type="text"/>
Revised Address: Street	<input type="text"/>
Revised Address: City	<input type="text"/>
Revised Address: State	<input type="text"/>
Revised Address: Zip Code	<input type="text"/>
Revised Country Code	<input type="text"/>
Revised Geographic Area	<input type="text"/>
Address Revision Code	A-Add address of location to policy <input type="text"/>
Revised Name/Address/Exposure Link: Revised Name Link Identifier	000 <input type="text"/>
Revised Name/Address/Exposure Link: Revised State Code Link	00 <input type="text"/>
Revised Name/Address/Exposure Link: Revised Exposure Record Link Code	00000 <input type="text"/>
Revised Amount of Employees (IAIABC POC ONLY)	000000 <input type="text"/>
Revised Standard Industry Code (IAIABC POC ONLY)	<input type="text"/>
Revised Phone Number of Insured (NCCI Only)	0000000000 <input type="text"/>
Name of Employer	PRIMARY NAM <input type="text"/>
Revised Name Link Counter ID	00 <input type="text"/>
Endorsement Effective Date (MMDDYY)	070119 <input type="text"/>

Required Fields

Once you have completed entry of the endorsement information, click on “Save”

**Save**, which will navigate you back to the “Currently Existing Endorsements” page. Once saved, the endorsement is listed on the “Endorsement” page.

Information Page				Endorsement			
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>	
	99901		PEEPTESTPOLICY	060319	03	061919	
<b>Currently Existing Endorsements</b>							
Order By Endorsement Name <input type="radio"/>							
Order By Endorsement # <input checked="" type="radio"/>							
Please Select Endorsement							
California Non Standard Endorsement Agreement Limiting & Restricting This Insurance							
<b>Create New Endorsement</b>							
Endorsement Name	Record Type	State Code	Endorsement Number	Bureau Version ID	First Carrier Version ID	Endorsement Effective Date	Delete
Mailing Address of Insured	89		WC890605			190701	Delete

**Note: Only one change** can be made per endorsement record. If other changes are required, additional endorsement records will need to be created.

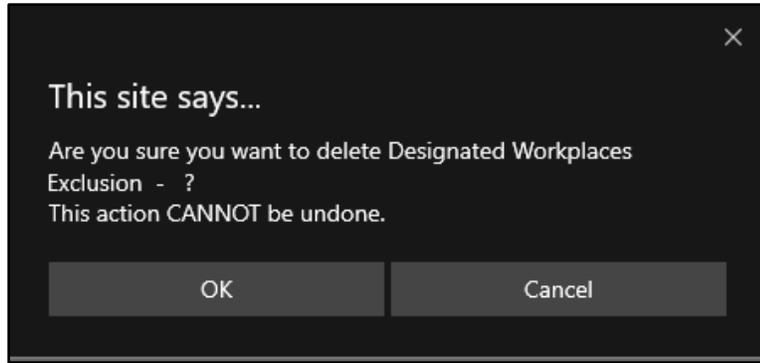
You can do this by selecting another endorsement from the dropdown list in order to create or change another endorsement.

National- and State-specific variable text endorsements are also included in the dropdown list and can be created with this transaction. When one of these is selected, the page for entry of the variable information specific to the endorsement will open for entry.

You may view or edit an existing endorsement by clicking on the endorsement name under the “Endorsement Name” column which will open the endorsement record. You may also delete an endorsement from the list by clicking on “Delete” in the “Delete” column.

Endorsement Name	Record Type	State Code	Endorsement Number	Bureau Version ID	First Carrier Version ID	Endorsement Effective Date	Delete
Designated Workplaces Exclusion	25		WC000302			190603	Delete
Mailing Address of Insured	89		WC890605			190701	Delete
Partners, Officers and Others Exclusion	38		WC000308			190603	Delete

After clicking on “Delete”, you will receive a pop-up asking you to confirm the deletion.



**Note:** Once an endorsement has been deleted, it cannot be retrieved.

After all endorsement information is saved, you can either navigate to the “Information Page” to run the edits, or you can validate as part of a batch.

Information Page				Endorsement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901		PEEPTESTPOLICY	060319	03	061919
<input type="button" value="Run edits"/>						
<b>Enter State Code</b>						
Workers Compensation Insurance: Part One of the policy applies to the Workers Compensation Law of the states listed here: (If you need to delete a state, please refer to the Users Guide)						
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="button" value="Save"/> <input type="button" value="Save and Next"/> <input type="button" value="Reset Form"/>						

See the “Run Edits” section for more information on edits.

See the “Validation” section for more information on validating as part of a batch.

### Edit Errors For MN

Error Number	Policy Number	Transaction Code	Record Type	Field Description	Field Value	Error Description
Edits Passed						



Once the state(s) have been added, click on “Save and Next”. This will navigate you to the “Cancel / Reinstatement” page.

Information Page				Cancel/Reinstatement		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901		TESTREINSTATE	030219	05	050119
There Are No Currently Existing Cancellations/Reinstatements						
<p>Creating multiple Cancellation/Reinstatement/Nonrenewal records from this screen via the Copy or Add Transaction function may cause unintended results when creating a submission file. All Transaction 05 records (including the original) entered with the same link information will be included in the submission, however only one record will display on the Create Submission File screen. To avoid confusion, enter all Transaction 05's as an original transaction</p>						
<input type="button" value="Add Cancellations / Reinstatement"/>						

On the “Cancel / Reinstatement” page, click on “Add Cancellations / Reinstatement” to navigate to the “Cancellation / Reinstatement Record”.

**Note:** The required information indicated by the ⓘ symbol next to the data field will change depending on whether the “Transaction ID Code” is a cancellation, reinstatement, or non-renewal.

The “Cancellation” and “Non-Renewal” format:

### Cancellation/Reinstatement Record

Transaction ID Code	1-Cancellation	ⓘ
Reason for Reinstatement		
Cancel Code	0-NonRenewal	ⓘ
Reason For Cancellation	00-NonRenewal	ⓘ
Reinstatement Code		
Name of Employer		ⓘ
Address of Employer		ⓘ
Nature of Employer (NJ Only)		
Cancellation Mailed to Insured Date (MMDDYY)		ⓘ
Cancellation/Reinstatement Effective Date (MMDDYY)		ⓘ
Cancellation/Reinstatement Transaction Sequence Number		
Corresponding Cancellation Effective Date (MMDDYY)		

ⓘ Required Fields

Save

The "Reinstatement" format:

### Cancellation/Reinstatement Record

Transaction ID Code	2-Reinstatement	ⓘ	
Reason for Reinstatement			
Cancel Code			
Reason For Cancellation			
Reinstatement Code	1-Reinstatement of policy cancelled file	ⓘ	
Name of Employer		ⓘ	
Address of Employer		ⓘ	
Nature of Employer (NJ Only)			
Cancellation Mailed to Insured Date (MMDDYY)		ⓘ	
Cancellation/Reinstatement Effective Date (MMDDYY)		ⓘ	
	Cancellation/Reinstatement Transaction Sequence Number		
	Corresponding Cancellation Effective Date (MMDDYY)	ⓘ	

ⓘ **Required Fields**

“Cancellation / Reinstatement Record” includes the following fields:

CDX Data Field Label	WCPOLS Data Element	Notes / Instructions
Transaction ID Code	Cancellation / Reinstatement ID Code	Dropdown
Reason for Reinstatement	Reason for Reinstatement Code	Dropdown
Cancel Code	Cancellation Type Code	Dropdown
Reason For Cancellation	Reason For Cancellation Code	Dropdown
Reinstatement Code	Reinstatement Type Code	Dropdown
Name of Employer	Name of Insured	
Address of Employer	Address of Insured	
Nature of Employer (NJ Only)	Nature of Insured	
Cancellation/Reinstatement Transaction Sequence Number	Cancellation/Reinstatement Transaction Sequence Number	

Cancellation Mailed to Insured Date	Cancellation Mailed to Insured Date	MMDDYY
Cancellation/Reinstatement Effective Date	Cancellation/Reinstatement Effective Date	MMDDYY
Corresponding Cancellation Effective Date	Corresponding Cancellation Effective Date	MMDDYY

**Note:** The defaults will not be listed here since they change depending on the “Transaction ID Code”.

Once the data has been entered and the record is complete, click “Save” and you will be navigated back to the “Cancel / Reinstatement” page which will now show the “Transaction ID Code”, “Effective Date”, and a “Delete” column.

Information Page			Cancel/Reinstatement			
<b>Policy:</b>	<b>Carrier</b> 99901	<b>Primary Name</b>	<b>Policy Number</b> TESTREINSTATE	<b>Effective</b> 030219	<b>Trans Code</b> 05	<b>Issue</b> 050119
<b>Transaction ID Code</b>	<b>Effective Date</b>		<b>Delete</b>			
2 - Reinstatement	04/05/19		Delete			
<small>Creating multiple Cancellation/Reinstatement/Nonrenewal records from this screen via the Copy or Add Transaction function may cause unintended results when creating a submission file. All Transaction 05 records (including the original) entered with the same link information will be included in the submission, however only one record will display on the Create Submission File screen. To avoid confusion, enter all Transaction 05's as an original transaction</small>						
<input type="button" value="Add Cancellations / Reinstatement"/>						

To add another cancellation or reinstatement, either A) click on “Add Cancellations/Reinstatement” or B) search for the policy and, from the list of transactions page, click “Add New Transaction.” With option A, when you create a submission, only one Transaction Code 05 will be listed on the Export Policy Transactions screen, but both will be included on the submission. With option B, each transaction code 05 will be listed separately.

Regardless of what method you use to create cancellations or reinstatements, if you are entering more than one “Cancellation/ Reinstatement Record” from a single “Transaction Code”-05 with the same “Link Data” and the same “Transaction Issue Date”, be sure to enter a “Cancellation/ Reinstatement Transaction Sequence Number” (on the detail page) to indicate which transaction is to be processed first. This number defaults to “00”, if you don’t enter a number, but you change it.

Cancellation/Reinstatement Transaction Sequence Number	<input type="text" value="00"/>
---	---------------------------------

All of the records created within a single “Transaction Code”-05 will be included in the submission; however, only one record will display on the “Export Policy Transactions” page. See the “Export” section for more information on exporting.

If at any time you want to navigate back to the “Cancel/Reinstate” page without saving the detail on the “Cancellation / Reinstatement Record”, click on “Back to Cancellation/Reinstatement List”.

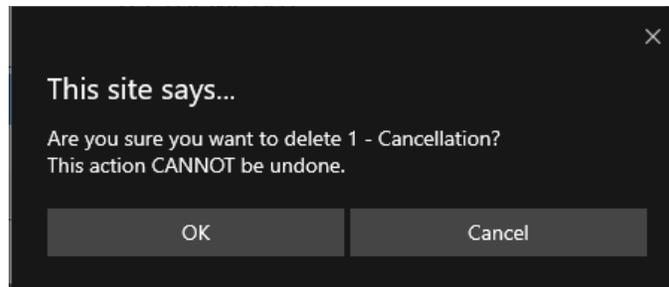
<a href="#">Back to Cancellation/Reinstatement List</a>	<b>Cancellation/Reinstatement Record</b>
---	--

To view or edit the details of an existing cancellation or reinstatement, click on the transaction under the “Transaction ID Code” column.

To delete a “Cancellation/ Reinstatement Record”, click on “Delete” under the “Delete” column next to the transaction you wish to delete.

Information Page				Cancel/Reinstate		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901		TESTREINSTATE	030219	05	050119
Transaction ID Code	Effective Date			Delete		
1 - Cancellation	05/25/19			Delete		
2 - Reinstatement	05/25/19			Delete		

You will get a pop-up message asking if you are sure you want to “Delete” the transaction.



After all the cancellation, non-renewal, or reinstatement information has been saved, you can either navigate back to the “Information Page” to run the edits or validate as part of a batch.

See the “Run Edits” section for more information on edits.

See the “Validation” section for more information on validating as part of a batch.

## Compliance / Noncompliance Notice

The creation of either compliance or noncompliance transactions, also known as “Transaction Code”-17, is used to report noncompliance issues as a result of undisputed premium due, and/or noncompliance with the policy terms and conditions on a policy, or coverage notice previously reported. This transaction is also used to report satisfaction of a previously reported noncompliance transaction.

To create this transaction from an existing policy, use the “Add New Transaction” feature under the “Transaction List for Policy – (Policy Number)” page, which displays when you choose to “View” a policy from the “Policy Search” page. See the “Policy Search” section for more information on policy searches.

Once the policy has been located, click on “Add New Transaction” which will navigate you to the “Link Data Information/Key Policy Elements” page. Select the “17-Non Compliance” from the “Transaction Code” dropdown list.

Alternatively, if there is an existing compliance / noncompliance transaction, you can use the “Copy” feature. See “Policy Search” for more information on the “Copy” feature.

Next, enter the “Trans (Transaction) Issue Date” for the date the compliance / noncompliance was issued.

Link Data Information/Key Policy Data Elements - PEEPTSTPOLICY				
Carrier Number	Policy Number	Policy Effective Date(MMDDYY)	Transaction Code	Trans Issue Date(MMDDYY)
99901	PEEPTSTPOLICY	060319	17 Non Compliance	072519
<input type="button" value="Save"/> <input type="button" value="Save and Next"/> <input type="button" value="Clear Form"/>				

Clicking on “Save and Next” will navigate you to the “Policy Record” under the “Information Page”. The “Link Data” are displayed for reference.

List the states to which the compliance or noncompliance notice applies in the Part-3A section. States are to be entered with the state alphabetical postal abbreviations. Once the state or states are entered, click “Save and Next” which will navigate you to the “Non Compliance” page.



The "Not in Compliance" fields:

Information Page				Non Compliance		
<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901		PEEPTSTPOLICY	060319	17	072519
<a href="#">Back to Non Compliance List</a>						
<b>WC310617 Non Compliance of Policy Terms and Conditions Record</b>						
Non Compliance/Compliance Type Code				1 - Not in Compliance <input type="text"/>		
Primary Non Compliance Reason Code (#1)				<input type="text"/>		
Additional Non Compliance Reason Code (#2)				<input type="text"/>		
Additional Non Compliance Reason Code (#3)				<input type="text"/>		
Additional Non Compliance Reason Code (#4)				<input type="text"/>		
Primary Compliance Reason Code (#1)				<input type="text"/>		
Additional Compliance Reason Code (#2)				<input type="text"/>		
Additional Compliance Reason Code (#3)				<input type="text"/>		
Additional Compliance Reason Code (#4)				<input type="text"/>		
Current Outstanding Premium Due Amount				<input type="text"/>		
Compliance Effective Date (MMDDYY)				<input type="text"/>		
Non Compliance Effective Date (MMDDYY)				<input type="text"/>		
<input type="checkbox"/> Required Fields						
<input type="button" value="Save"/>						

The "In Compliance" fields:

Information Page			Non Compliance			
<b>Policy:</b>	<b>Carrier</b> 99901	<b>Primary Name</b>	<b>Policy Number</b> PEEPTESTPOLICY	<b>Effective</b> 060319	<b>Trans Code</b> 17	<b>Issue</b> 072519
<input type="button" value="Back to Non Compliance List"/>						
<b>WC310617 Non Compliance of Policy Terms and Conditions Record</b>						
Non Compliance/Compliance Type Code				2 - In Compliance <input type="button" value="Ⓞ"/>		
Primary Non Compliance Reason Code (#1)				<input type="button" value="v"/>		
Additional Non Compliance Reason Code (#2)				<input type="button" value="v"/>		
Additional Non Compliance Reason Code (#3)				<input type="button" value="v"/>		
Additional Non Compliance Reason Code (#4)				<input type="button" value="v"/>		
Primary Compliance Reason Code (#1)				<input type="button" value="v"/> <input type="button" value="Ⓞ"/>		
Additional Compliance Reason Code (#2)				<input type="button" value="v"/>		
Additional Compliance Reason Code (#3)				<input type="button" value="v"/>		
Additional Compliance Reason Code (#4)				<input type="button" value="v"/>		
Current Outstanding Premium Due Amount				<input type="text"/>		
Compliance Effective Date (MMDDYY)				<input type="text"/> <input type="button" value="Ⓞ"/>		
Non Compliance Effective Date (MMDDYY)				<input type="text"/>		
<input type="button" value="Ⓞ Required Fields"/>						
<input type="button" value="Save"/>						

“Non Compliance of Policy Terms and Conditions Record” includes the following fields:

CDX Data Field Label	WCPOLS Data Element	Notes / Instructions
Non Compliance/Compliance Type Code	Noncompliance/Compliance Notification Type Code	Dropdown – defaults to “1 – Not in Compliance”
Primary Non Compliance Reason Code (#1)	Primary Noncompliance Reason Code	Dropdown
Additional Non Compliance Reason Code (#2) - - dropdown	Additional Noncompliance Reason Code	Dropdown
Additional Non Compliance Reason Code (#3)	Additional Noncompliance Reason Code	Dropdown
Additional Non Compliance Reason Code (#4)	Additional Noncompliance Reason Code	Dropdown
Primary Compliance Reason Code (#1)	Primary Compliance Reason Code	Dropdown
Additional Compliance Reason Code (#2)	Additional Compliance Reason Code	Dropdown
Additional Compliance Reason Code (#3)	Additional Compliance Reason Code	Dropdown
Additional Compliance Reason Code (#4)	Additional Compliance Reason Code	Dropdown
Current Outstanding Premium Due Amount	Current Outstanding Premium Due Amount	
Compliance Effective Date	Compliance Effective Date	MMDDYY
Non Compliance Effective	Noncompliance Effective Date	MMDDYY

Date		
------	--	--

You can enter multiple compliance or noncompliance transactions for the same policy.

Click on “Add Non Compliance” to create another compliance or noncompliance transaction.

To view an existing compliance or noncompliance transaction, click on the Non Compliance/ Compliance transaction you would like to view under the “Non Compliance/Compliance Type Code”. This will open the “Noncompliance of Policy Terms and Conditions Record” and the data will be displayed.

When creating a “2 – In Compliance” transaction, the “Primary Compliance Reason Code” should match back to the “Primary Non Compliance Reason Code”.

Information Page
[Non Compliance](#)

<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901		PEEPTESTPOLICY	060319	17	072519

Non Compliance/Compliance Type Code	Primary Non Compliance Reason Code (#1)	Primary Compliance Reason Code (#1)	Premium Due	Compliance Effective Date	Non Compliance Effective Date	Delete
1 - Not in Compliance	01 - Non Payment of Amount Billed		0000002500		072419	Delete

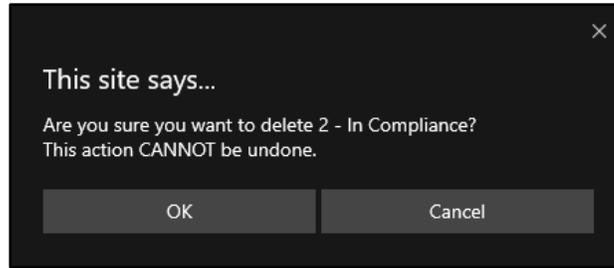
Information Page
[Non Compliance](#)

<b>Policy:</b>	<b>Carrier</b>	<b>Primary Name</b>	<b>Policy Number</b>	<b>Effective</b>	<b>Trans Code</b>	<b>Issue</b>
	99901		PEEPTESTPOLICY	060319	17	072519

Non Compliance/Compliance Type Code	Primary Non Compliance Reason Code (#1)	Primary Compliance Reason Code (#1)	Premium Due	Compliance Effective Date	Non Compliance Effective Date	Delete
2 - In Compliance		01 - Compliance of Non Payment - Paid in Full	0000002500	072519		Delete

If you want to delete a transaction, click on “Delete” to delete the transaction. Deleted transactions cannot be recovered.

You will get a pop-up message asking if you are sure you want to “Delete” the transaction.



After all the compliance and/or noncompliance records are saved, you can either navigate to the “Information Page” to run the edits or you can validate as part of a batch.

See the “Run Edits” section for more information on edits.

See the “Validation” section for more information on validating as part of a batch.

# Archive Policies

The PEEP application system stores policy information for two years. Archiving allows the Insurer to save PEEP transactions in their own system. These files can be imported back into PEEP, if needed. Insurers need to develop their own protocol for how they want policy information saved and instruct their Users.



To archive a policy, you can select “Archive Policies” from the “Archive” dropdown on the PEEP menu. This navigates you to the “Search For Policy to Archive” page where you have several choices.

You can search by a specific “Carrier Code”, a specific “Policy Number”, or a date range of “Policy Effective Dates”. You can also search for policies that are scheduled for deletion by a certain date. If you leave the fields blank and click on “Search”, the system will retrieve all policies that have not been archived.

Once you have entered the search criteria, click on “Search”.

To clear the page or enter different search criteria, click on “Reset”.

### Search For Policy to Archive

Carrier Code:

Policy Number:

Policy Effective date (MMDDYY):  to

Limit results to records that will be deleted  
by this date (MMDDYY):

“Search For Policies to Archive” includes the following fields:

- Carrier Code
- Policy Number
- Policy Effective Date (MMDDYY)
- Limit results to records that will be deleted by this date (MMDDYY)

The system will retrieve all policies within your search criteria.

### Search For Policy to Archive

Carrier Code:

Policy Number:

Policy Effective date (MMDDYY):  to

Limit results to records that will be deleted by this date (MMDDYY):

Policy Number	Carrier Code	Policy Effective Date	<input type="checkbox"/> Archive
WC04030	99901	040117	<input type="checkbox"/>
WC0987	99901	040117	<input type="checkbox"/>
WC123456	99901	050117	<input type="checkbox"/>
WCTESTA	99901	040117	<input type="checkbox"/>

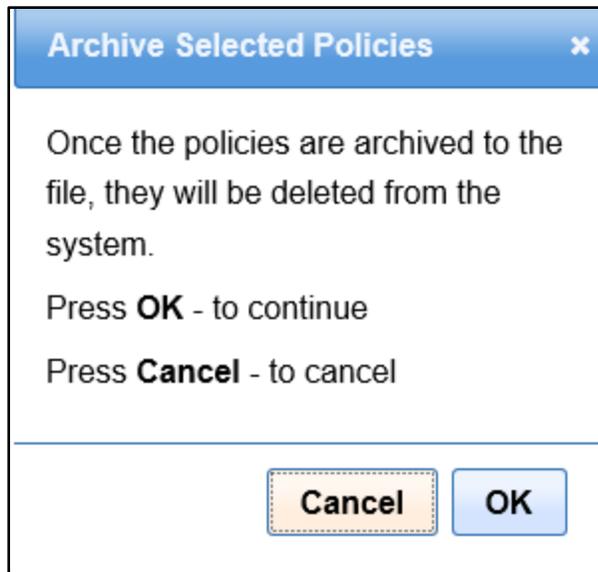
Page  of 1 (4 items)

After the search results are returned, check the boxes next to the policies you wish to archive.

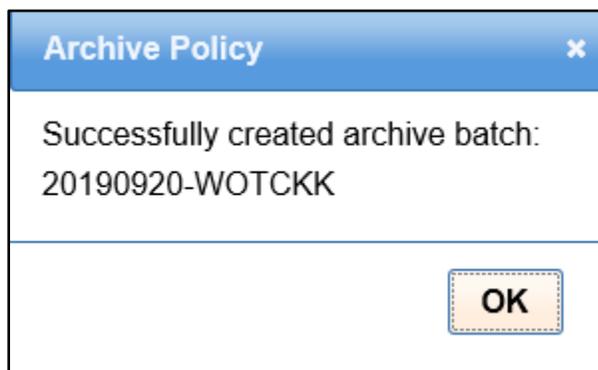
Archive

You can archive one or more policies at the same time. This is called a “batch”. If you have multiple pages of results, you can easily navigate through by simply clicking the Scroll to Bottom button and choose a function. After selecting all of the policies you wish to archive, click on “Archive Policy Confirmation”.

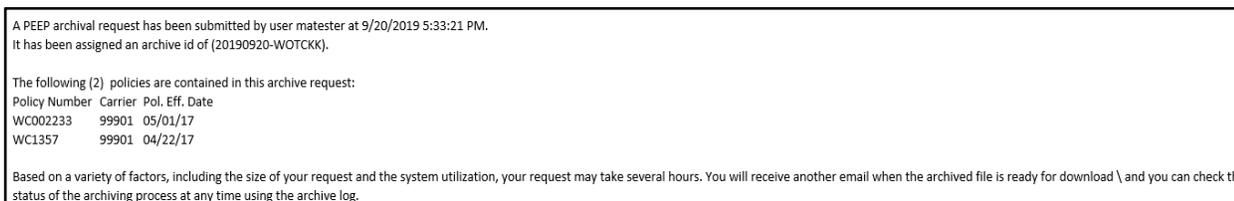
A pop-up opens stating “Once the policies are archived to the file, they will be deleted from the system”, which prompts you to click either the “OK” to continue or “Cancel” to cancel the archive.



If "OK" is selected, another pop-up opens stating, "Successfully created archive batch: (Batch Number)". Selecting "OK" on the pop-up box returns you to the PEEP home page.



Since archiving is done offline, you will receive two emails. The first email will state the archiving process has started.



The first email will include the following information:

- The user that requested the archive
- Date and Time of request

- Archive ID number
- A list of the policies included in the request.

The second email will indicate the archiving process has completed.

The PEEP archive request (20190920-WOTCKK) submitted by matester has finished processing.

Until you receive the second email, policies may still be displayed on the main search page. Once the archiving process is complete, the archived policies will no longer be displayed.

**Note:** Per the CDX Data Retention Policy, please remember that a policy and its related transactions with a “Policy Expiration Date” older than two years, and an entry date older than two years, will be deleted from PEEP.

## Results of Archiving

PEEP builds a text file in 300-byte WCPOLS format that includes the selected policy transactions. The file is named using a CDX file-naming convention and will be referred to as the “Identifier” in the “PEEP - Archived Files” list, which is accessed using the Archive menu item.

Archived files can be downloaded for up to 30 days from the date they were created.

## Archived Files

Once policies have been archived, they can be viewed from the “PEEP - Archived Files” page. To view these archived policies, you will need to navigate to the “PEEP - Archived Files” page by clicking on “Archived Files”, under the “Archive” dropdown, on the PEEP menu.



If no policies have been archived within the last 30 days, the page will not have any batches to display.

PEEP - Archived Files									
Submitted By	Identifier	Submitted	Completed	Status	Transaction Count	Success	Failure		
No Policy archive files have been created in the last thirty days									

If policies have been archived within the last 30 days, the batches will be displayed in “PEEP - Archived Files”.

PEEP - Archived Files									
Submitted By	Identifier	Submitted	Completed	Status	Transaction Count	Success	Failure		
Test User	20190923-RIFCRL	09/23/2019	09/24/2019	Complete	14	14	0	<a href="#">download</a>	<a href="#">summary</a>
Test User	20190920-LVTMGI	09/20/2019	09/20/2019	Complete	2	2	0	<a href="#">download</a>	<a href="#">summary</a>

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The initial “PEEP Archived Files” page includes the following information:

- Submitted By - Who submitted the batch
- Identifier - System created archived batch number
- Submitted - Date and time the batch was submitted archiving
- Completed - Date in which the batch was completed
- Status - Status of the batch
- Transaction Count - Number of policies included in the batch
- Success - Number of policies that have successfully completed archiving
- Failure - Number of policies that did not archive

The “Status” of the archive file determines whether you can view the WCPOLS “Archived File” or the “Summary Report”.

The “Queued” status indicates that the batch is still in the process of archiving and, therefore, you cannot view the “Archived File” or the “Summary Report”.

The “Failed” status indicates that the policy failed being archived, so you can view the “Summary Report”, but the “Archived File” does not exist.

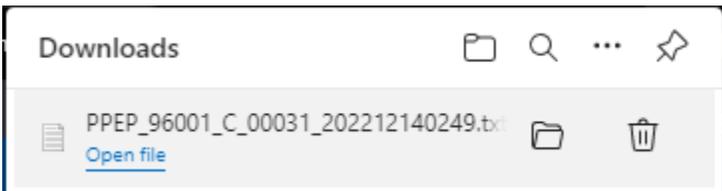
The “Complete” status indicates that the policy archived successfully, and you can view the “Archived File” or the “Summary Report”.

To download the “Archived File”, click on “download” for the file you wish to view.

PEEP - Archived Files									
Submitted By	Identifier	Submitted	Completed	Status	Transaction Count	Success	Failure		
Test User	20190923-RIFCRL	09/23/2019	09/24/2019	Complete	14	14	0	<a href="#">download</a>	<a href="#">summary</a>
Test User	20190920-LVTMGI	09/20/2019	09/20/2019	Complete	2	2	0	<a href="#">download</a>	<a href="#">summary</a>

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Clicking on “download” begins the download process. Clicking on “Open file” opens a text file in a WCPOLS format allowing you to save the identified batch.



Archived files can be downloaded for up to 30 days from the date they were created.

You can save the file on any media available to the workstation, renaming it if desired. After creating the text file, PEEP removes the selected Policy Data from the PEEP database.

```

Archive_484df87500_PPEP_00000_00000_201909201819 (1) - Notepad
File Edit Format View Help
99901WC0876      1704011706801 013000000000180401      0111
99901WC0876      1704011706801 021001 TEST POL A
99901WC0876      1704011706801 031 1987 MAIN
99901WC0876      17040117068012004 0000000000000000      0000010001 10001
99901WC0876      17040117068012005 9079      010000032200000000      000000010
99901WC0876      1704011706801 06233344649
99901WC0876      17040117068010007 WC000414
99901WC1279      1704011704001 013000000000180401      0111
99901WC1279      1704011704001 021001 TEST POL B
99901WC1279      1704011704001 031 1987 MAIN
99901WC1279      17040117040012004 0000000000000000      0000010001 10001
99901WC1279      17040117040012005 9079      010000032200000000      000000010
99901WC1279      1704011704001 06233344649
99901WC1279      17040117040010007 WC000414

```

Clicking on “summary” begins the download process of the Archive Summary .PDF report.

**PEEP - Archived Files**

Submitted By	Identifier	Submitted	Completed	Status	Transaction Count	Success	Failure		
Test User	20190923-RIFCRL	09/23/2019	09/24/2019	Complete	14	14	0	<a href="#">download</a>	<a href="#">summary</a>
Test User	20190920-LVTMGI	09/20/2019	09/20/2019	Complete	2	2	0	<a href="#">download</a>	<a href="#">summary</a>

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Clicking on “Open” will display a PDF list of all the policies in the file. It will show you which policies were successfully archived, and which policies failed.

**WCPOLS Archiving Summary**

**Submitted By:** Test User     
**Submitted:** 9/20/2019 6:19:29 PM     
**Completed:** 9/20/2019 6:19:55 PM     
**Archive Id:** 20190920-LVTMGI

**Summary**

**Policies Submitted:** 2     
**Successfully Archived:** 2     
**Failed To Archive:** 0

**Status Message:** Archive file has been generated successfully

**Successfully Archived**

Batch #	Carrier	Policy Number	Policy Eff Date
8016	99901	WC0876	04/01/2017
8016	99901	WC1279	04/01/2017

**Failed To Archive**

Batch #	Carrier	Policy Number	Policy Eff Date
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**Details:**

The top of the “WCPOLS Archiving Summary” report displays:

- Submitted by - User who submitted the batch
- Submitted - Date and time the batch was submitted for archiving
- Completed - Date and time the batch completed the validations
- Archive ID – System generated identification number

There is a “Summary” section which displays:

- Policies Submitted - Total number of policies included in the archive
- Successfully Archived - Number of policies which were successfully archived
- Failed To Archive - Number of policies which failed to archive
- Status Message – Status result of the archive

The next section is the “Successfully Archived”, which includes the following information:

- Batch # - System created archived batch number
- Carrier
- Policy Number
- Policy Effective Date

The final section is the “Failed To Archive”, which also includes the following information:

- Batch # - System created archived batch number
- Carrier
- Policy Number
- Policy Effective Date

Below that are the “Details” as to why the policy or policies failed.

**Note:** Per the CDX Data Retention Policy, please remember that a policy and its related transactions with a “Policy Expiration Date” older than two years, and an entry date older than two years, will be deleted from PEEP.

## Create File

The “Create File” function will prepare a submission file containing the policy transactions you want to submit to the DCO. Click PEEP, Submission then Create File. This will take you to the PEEP Create Submission File screen.



Select a Carrier Group Data Provide Code, the NCCI carrier code, to be used for the Transmittal

### PEEP - Create Submission File

Please Select A Carrier Group Data   
Provider Code For Transmittal

Click next to navigate to the PEEP – Create Submission File page.

### PEEP - Create Submission File

Please Select A State

Select Transactions

Batch ID

Transaction Start Date (MMDDYY)

Transaction End Date (MMDDYY)

File Created From Date (MMDDYY)

File Created To Date (MMDDYY)

Provide any or all of the following information in order to limit the results of the search: (The default values may be changed.)

- Select the destination State
- Select Transactions - Dropdown - Defaults to “Un-Submitted Transactions”
- Batch ID - System created imported batch number
- Transaction Start Date (MMDDYY) - Transaction Issue Date
- Transaction End Date (MMDDYY) - Transaction Issue Date
- File Created To Date (MMDDYY) – Date the submission file was created
- File Created From Date MMDDYY) – Date the submission file was created

**Note:** Carrier Users and UMG Administrators will be required to select a carrier group number, before being navigated to the screen with search criteria. The carrier will not display on the screen with search criteria. Once all the criteria has been entered, click “Continue”. You will see the following message:

**Please wait, loading transactions...**

### Create Submission File for MA

Please Fill the Information Below

<p><b>File</b></p> <p>Submission Type <input type="text" value="Standard Submission"/> Ⓞ</p> <p>Sub Replacement ID <input type="text" value="S"/></p>	<p><b>Provider</b></p> <p>Provider Contact Name <input type="text" value="PEEPUser"/> x Ⓞ</p> <p>Street <input type="text" value="Street"/> Ⓞ</p> <p>City <input type="text" value="City"/> Ⓞ</p> <p>State/Zip <input type="text" value="MA"/> Ⓞ <input type="text" value="02110"/> Ⓞ</p> <p>Phone Number <input type="text" value="6171231234"/> Ⓞ Ext <input type="text"/></p> <p>Fax Number <input type="text" value="6171231234"/> Ⓞ</p> <p>Email <input type="text" value="user@company.com"/> Ⓞ</p>
---	---

Ⓞ Required for creating a submission file but not to run edits.

To submit a file, you will need to provide the following information which is used to define the submission and generate the electronic transmittal record (ETR):

- Submission Type – Dropdown - Defaults to “Standard Submission”
- Submission Replacement ID – defaults to “S”

Then provide the following information for the Provider:

- Provider Contact Name – Carrier name
- Street – Carrier, Street address
- City – Carrier City

- State – Carrier State
- Zip – Carrier Zip Code
- Phone Number (numeric only) – User work phone number
- Extension
- Fax Number (numeric only) – User work fax number
- E-mail – User work email address

**Note:** The Provider information is defaulted from the data in “Edit Profile”, under the “My Account” tab.

Upon successful file creation, the data in the above fields (original or updated) will be included in the file ETR (Electronic Transmittal Record). Changes to Street, City, State, and Zip will result in automatic updates to your “My Account”/“Edit Profile”. This information is not only used to create the electronic submission file, but also indicates where the emails are to be sent.



**Note:** It is usually best to enter your own phone number and email address just in case the DCO needs to get in contact with you.

Next, depending on the criteria you chose, you will see the following policies and transactions:

Policy Number	Carrier Code	Policy Effective Date	Primary Name	Transaction Code	Transaction Issue Date	Validation Status	User Name	Check Transactions To Export	Check Transactions To Run Edits
<b>WCTEST02</b>									
WCTEST02	96001	040117	OUR RATINGS TEST INC	02	092517	Not Edited	ryfesterJohn	<input type="checkbox"/>	<input type="checkbox"/>
<b>WCTEST00</b>									
WCTEST00	96001	040115	OUR RATINGS TEST INC	01	122515	Not Edited	ryfester	<input type="checkbox"/>	<input type="checkbox"/>
<b>WCTEST01</b>									
WCTEST01	96001	040116	OUR RATINGS TEST INC	02	092516	Not Edited	ryfester	<input type="checkbox"/>	<input type="checkbox"/>
<b>WCTEST02</b>									

Page  of 1 (24 items)

To select the transactions, you wish to include in the submission file, click on the check box on the row of the transaction under the “Check Transactions To Export” column.

Only transactions that have a “Validation Status” of either “Passed” or “Forced” can be included in a submission file and will have a check box available to select for Export.

If some or all of the transactions need to be validated, see the “Validation” section for more information.

Validation Status	User Name	Check Transactions To Export	Check Transactions To Run Edits
		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Failed	nytesterJohn		<input type="checkbox"/>
		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Passed	nytester	<input checked="" type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
Submitted	carrier	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
Submitted	carrier	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
Not Edited	John		<input type="checkbox"/>

You can select one or multiple transactions to be included in a submission file. Transactions are grouped by “Policy Number”. The “Policy Number” in bold type on the light blue line above its respective transactions is referred to as the “Policy Header”. You can click on the check box in the “Policy Header” row to include all the transactions for that policy number with a “Validation Status” of either “Passed” or “Forced” in the submission. (Those transactions that have not been validated will not have a check box in the “Check Transactions To Export” column.)

You can also select the “All” button above the list of transactions. **Note:** That action will select ALL the boxes, including the boxes in the “Check Transactions to Run Edits” column.

You can edit/correct transactions with a “Validation Status” of “Failed” by navigating to the transaction to make a correction. See “Policy Search” section for more information. You can also “Force” the transaction into a submission file.

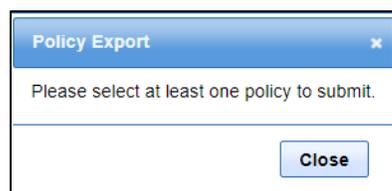
Those transactions with a “Validation Status” of “Not Edited” will need to be validated before they can be included in the submission. See the “Validation” section for more information.

When all the transactions to include in the submission file have been checked, click the “Export File” button at the bottom of the page.

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Next
Last
Scroll To Top

Export File
Run Edits

You must have at least one transaction selected for export, otherwise you will see the following message:



Upon successful creation of the submission file, the “PEEP – Submission Files” page is displayed.

**PEEP - Submission Files**

Click on a File to Download

[Scroll To Bottom](#)

File Name	Date Created	State	Policy Numbers	Send Through CDX	Date Sent	
<a href="#">PPEP_99901_C_00020_201909230416.txt</a>	9/23/2019 4:16:10 PM	MA	<a href="#">View Policy Numbers</a>	<a href="#">Send</a>	9/23/2019 4:16:34 PM	File Will be deleted in 29 days
<a href="#">PPEP_99901_C_00020_201909230300.txt</a>	9/23/2019 3:00:03 PM	MA	<a href="#">View Policy Numbers</a>	<a href="#">Send</a>		File Will be deleted in 29 days
<a href="#">PPEP_99901_C_00020_201909171131.txt</a>	9/17/2019 11:31:45 AM	MA	<a href="#">View Policy Numbers</a>	<a href="#">Send</a>		File Will be deleted in 23 days

“PEEP – Submission Files” includes the following information:

- File Name
- Date Created
- State
- Policy Numbers
- Send Through CDX
- Date Sent
- A blank heading column displays the number of days until file is deleted

The “File List” displays all the submission files that have been created in the last 30 days. Files are deleted from this list after 30 days.

You can click on a submission under the “File Name” to view or download a copy of the file.

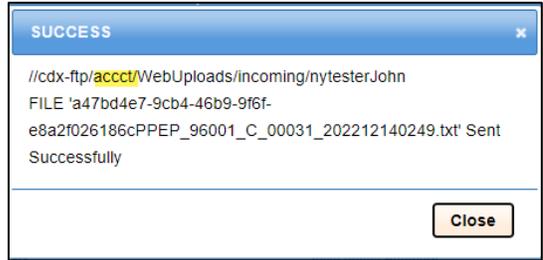
File Name	Date Created	State	Policy Numbers	Send Through CDX	Date Sent	
<a href="#">PPEP_22000_D_00022_201703161212.txt</a>	3/16/2017 12:12:01 PM	MN	<a href="#">View Policy Numbers</a>	<a href="#">Send</a>	3/16/2017 12:15:48 PM	File Will be deleted in 30 days



File Name	Date Created	State	Policy Numbers	Send Through CDX	Date Sent	
<a href="#">PPEP_22000_D_00022_201703161212.txt</a>	3/16/2017 12:12:01 PM	MN	<a href="#">View Policy Numbers</a>	<a href="#">Send</a>	3/16/2017 12:15:48 PM	File Will be deleted in 30 days

**IMPORTANT:** For PEEP to submit multi-state policies to various states, a separate submission must be created for each DCO state. States will disregard those sections of the transaction that do not pertain to them.

After clicking on “Send”, the following message will appear:



Your submission has been sent to the DCO.

## Validating Transactions

“Validation” is running edits against one or multiple transactions that were either imported or manually entered in PEEP. These transactions must be validated before sending them to the DCO.

This section addresses validating transactions in a batch, which is done within “Create File”. It will be available after the “PEEP – Create Submission File” criteria are set, within “Create File”, and you have navigated to the list of policies and transactions. (For more information on validating within a single transaction, see the “Run Edits” section.)

Policy Number	Carrier Code	Policy Effective Date	Primary Name	Transaction Code	Transaction Issue Date	Validation Status	User Name	Check Transactions To Export	Check Transactions To Run Edits
<b>WCTEST00</b>									
WCTEST00	96001	040115	OUR RATINGS TEST INC	01	122515	Submitted	nytester	<input type="checkbox"/>	<input type="checkbox"/>

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Policy Number	Carrier Code	Policy Effective Date	Primary Name	Transaction Code	Transaction Issue Date	Validation Status	User Name	Check Transactions To Export	Check Transactions To Run Edits
<b>WCTEST00</b>									
WCTEST00	96001	040115	OUR RATINGS TEST INC	01	122515	Not Edited	nytester	<input type="checkbox"/>	<input type="checkbox"/>
<b>WCTEST01</b>									
WCTEST01	96001	040116	OUR RATINGS TEST INC	02	092516	Not Edited	nytester	<input type="checkbox"/>	<input type="checkbox"/>
<b>WCTEST02</b>									
								<input type="checkbox"/>	<input type="checkbox"/>

Policy Number	Carrier Code	Policy Effective Date	Primary Name	Transaction Code	Transaction Issue Date	Validation Status	User Name	Check Transactions To Export	Check Transactions To Run Edits
<b>WCTEST00</b>									
WCTEST00	96001	040115	OUR RATINGS TEST INC	01	122515	Not Edited	nytester	<input type="checkbox"/>	<input type="checkbox"/>
<b>WCTEST01</b>									
WCTEST01	96001	040116	OUR RATINGS TEST INC	02	092516	Not Edited	nytester	<input type="checkbox"/>	<input type="checkbox"/>
<b>WCTEST02</b>									
								<input type="checkbox"/>	<input type="checkbox"/>

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All the transactions from the search criteria you selected are displayed.

The “Validation” includes the following information:

- Policy Number
- Carrier Code
- Policy Effective Date
- Primary Name
- Transaction Code
- Validation Status
- User Name
- As well as columns for “Check Transactions To Export” and “Check Transactions To Run Edits”

Transactions are grouped by Policy Number, which is listed as a header in light blue above its respective transactions. You can select the check box next to the policy number header to check all the boxes with that same policy number.

Click on the check boxes under the “Check Transactions to Run Edits” column next to the policies and / or transactions you wish to validate. You can select one or multiple transactions.

You can also select the “All” button above the list of transactions, but that action will select ALL the boxes, including the boxes in the “Check Transactions to Export” column.

Validation Status	User Name	Check Transactions To Export	Check Transactions To Run Edits
Not Edited	John	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Once all policies and / or transactions have been selected, click on “Run Edits” to validate the selected transactions.

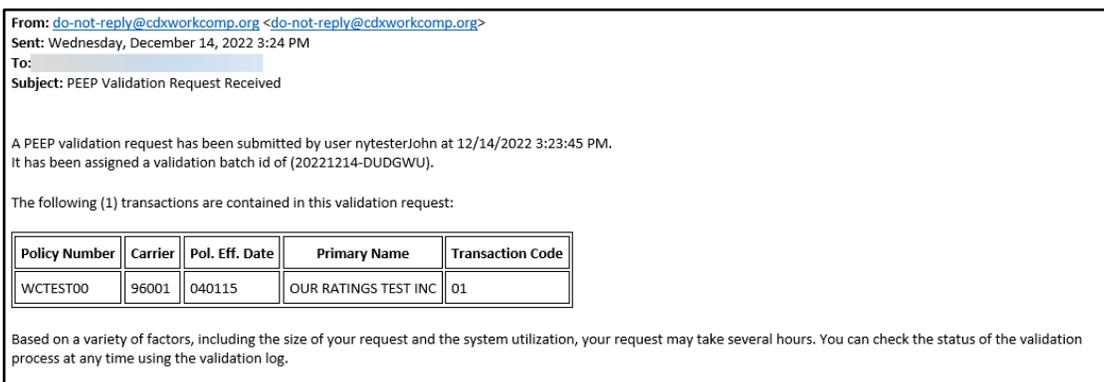
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Export File
Run Edits

A pop-up message will appear alerting you that your validation request has been submitted and provides a validation batch ID number.



An email is sent to the email address listed in the provider section stating that the PEEP validation request was submitted.



The email will include the following information:

- The user that requested the validation

- Date and Time of request
- Validation Batch ID Number
- A list of the transactions included in the request

Once the request has been processed, you will receive another email stating that the validation has finished processing.

The PEEP validation request (20190923-HKQLAJ) submitted by matester6 has finished processing.

After the request for validation has been processed, which can take up to a few hours based on the volume of transactions being validated at any point in time, refresh the Export Policy Transactions page to see the validation status of your run edit results.

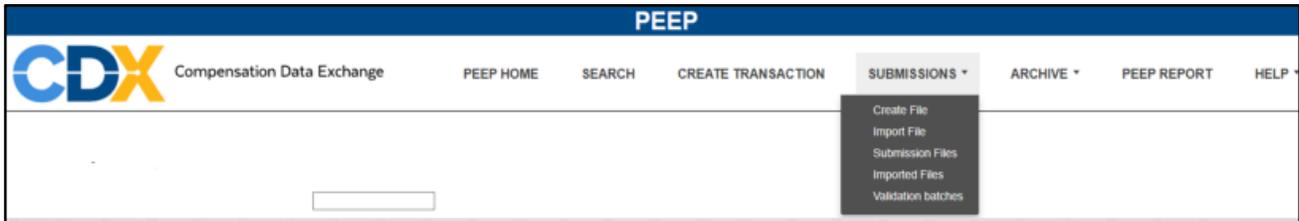
You can also check the status by navigating to “Validation Batches”.

See the “Validation Batches” section for more information.

## Import File

Before importing a file, verify the location of the file and that the file is a text file in the WCPOLS format. Once you've verified all the above, you can start the process to import your file.

Click on "Import File" under "Submissions" on the menu.



Click on "Browse" then navigate to where the files are stored. Select the file you wish to import by double clicking on it, or single click and choose "open". The "Browse" bar will populate with the file location. Click on "Upload" to begin the upload process.

### Import WCPOLS File

Click **Browse** to find the local/network file to upload. When you finish browsing, click **Upload** to complete the upload.

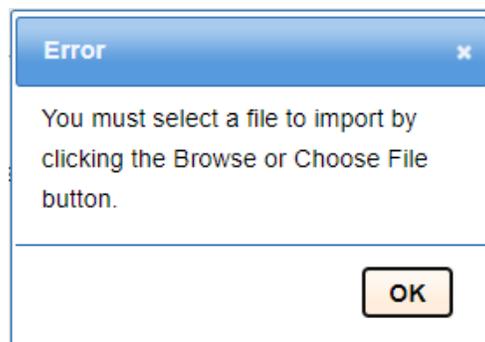
If you are importing Cancellation/Reinstatement Records without at least one specified state, they will be unable to be validated and will not be put in a submission file without validation.

Very large files may time out during upload. If you run into this problem, you can ZIP the file to compress it. Upload the ZIP file and the file processor will automatically unZIP it before continuing the import.

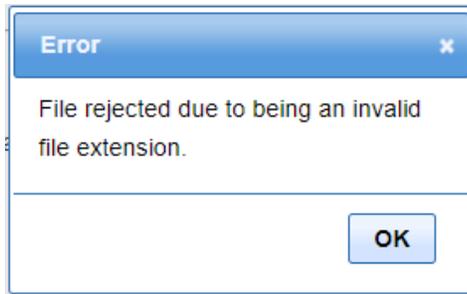
The maximum file size allowed for upload is 15MB. Files larger than 15MB should be compressed before uploading or transferred via FTP.

Only file extensions of .zip and .txt are allowed for file upload. Other extensions will no longer be accepted, such as .dat.

Clicking on "Upload" without choosing a file, you will receive the following message:



Likewise, if you select a file that is not a text file, you will receive an error message:



If you are importing a large file, the system may time out during the upload process. If this happens, zip your file to compress it, then click on “Browse” to choose your zip file. The “Browse” bar will populate with the file location (the file processor will automatically unzip your file before importing). Click on “Upload” to begin the upload process.

If WCPOLS policy transactions are loaded into PEEP, those transactions can then be copied to create different transactions that are sometimes difficult to produce directly using the Insurers’ system. This feature can be used if the WCPOLS records are incomplete or incorrect for DCO requirements. PEEP can be used to manually enter specific elements such as:

- Variable text data for specific endorsements
- Correct transactions to conform to specific DCO requirements
- Clarify Named Insured Records with proper formatting

The validation feature in PEEP can also be used to check WCPOLS submissions for **basic** edit errors. See “Validation Log” for more information.

Once you have clicked the “Upload” button you will see the following pop-up.

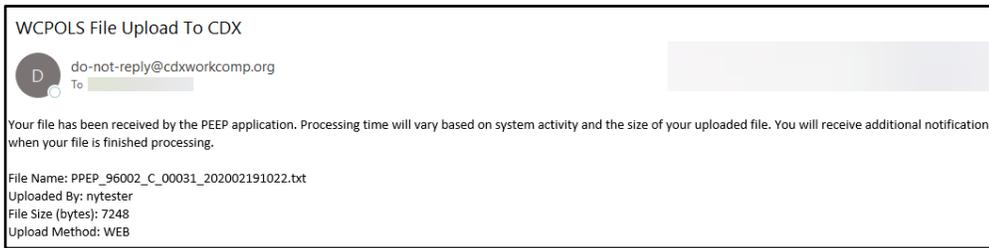
## Import WCPOLS File

---

It may take up to 30 min for the file that was just uploaded to show up in the [Imported WCPOLS Files](#) log

**Note:** You cannot stop the upload process once it is initiated.

It can take up to 30 minutes for the file to show up in the “Imported WCPOLS Files” page. The application will send two emails. The first email indicates the file has been received.

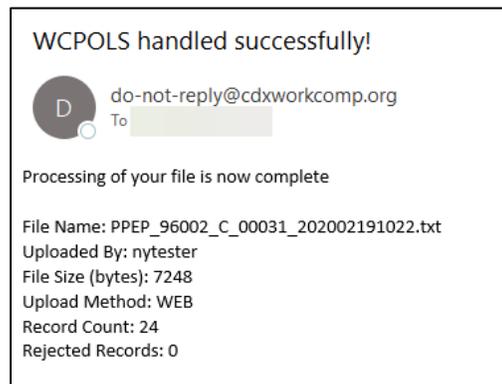


The first e-mail includes the following information:

- Name of the file
- Name of the User that uploaded the file
- File size in bytes
- Uploaded method

A second e-mail notification will be sent when the file has been loaded into the PEEP database.

The second email indicates the file is complete.



The second email includes the following information:

- Name of the file
- Name of the User that uploaded the file
- File size in bytes
- Uploaded method
- Record count
- Number of rejected records

Once PEEP receives all successfully imported transactions from the file, the transactions will have a status of “Work in Progress”. You can then use these transactions to make changes as previously stated and submit them through PEEP.

**Note:** When you click on “Import File” from the “Submissions” menu, the following text will display: **“If you are importing Cancellation/ Reinstatement Records without at least one specified state, they will be unable to be validated and will not be put in a submission file without validation.”**

For a Cancellation / Reinstatement transaction to validate, a “State Code” must be reported in position 44-45 of the WCPOLS Cancellation/Reinstatement record, “Record Type Code”-08. For more information on Cancellation / Reinstatement, see the “Cancellation / Reinstatement / Non-Renewal” section.

Once the second email is received you can click on “Imported Files”, under “Submissions”, which navigates you to “Imported WCPOLS Files.”.

See “Imported Files” for more information.

## **Importing Files via FTP**

The PEEP FTP site uses the same address that is used for submitting files via CDX (sftp.cdworkcomp.org). In order for the file handler to load the file into the PEEP database, you must append “@peep.cdworkcomp.org” to the CDX FTP Credential User Name (Example: cdxuser@peep.cdworkcomp.org). Use the Password associated with the FTP Credential to submit files via FTP.

Files uploaded via FTP can be sent zipped or plain text and protected with the security related extension SFTP.

The file must be in 300-byte WCPOLS format with EBCDIC or ASCII character coding. Once submitted to PEEP, you will receive the same two emails as described above. After the second email, you can then log into PEEP to verify the file has been imported by selecting “Imported Files”, under “Submissions”, on the PEEP menu. See “Imported Files” for more details.

## Submission Files

You can view the submissions that you created by clicking on “Submission Files” under the “Submissions” tab.

There are times when you may need to resend a submission file because a file cannot be found, the submission was misdirected, or a file was destroyed in the process. In those instances, you can resend the file that was created within the PEEP application within the past thirty days. A submission file older than thirty days is automatically deleted by the system. The recreated file is an exact duplicate of the original submission. You can download the submission files or transmit (send) them through CDX.

Click on “Submission Files” under the “Submissions” tab.



This will navigate you to the “PEEP – Submission Files”, which displays all the submission files that have been created in the last 30 days. Files are deleted from this list after 30 days.

This is the same page as noted in the “Create File” section.

If the file you need to resend is not in the list of files, you will need to recreate the file (see the “Create File” section for more information), or send the file directly through CDX, from a copy that you previously saved, locally.

PEEP - Submission Files						
Click on a File to Download						
<a href="#">Scroll To Bottom</a>						
File Name	Date Created	State	Policy Numbers	Send Through CDX	Date Sent	
PPEP_99901_C_00020_201909230300.txt	9/23/2019 3:00:03 PM	MA	<a href="#">View Policy Numbers</a>	<a href="#">Send</a>		File Will be deleted in 30 days
PPEP_99901_C_00020_201909171131.txt	9/17/2019 11:31:45 AM	MA	<a href="#">View Policy Numbers</a>	<a href="#">Send</a>		File Will be deleted in 24 days

To send a submission file, you must click “Send” for the desired file. Once “Send” is selected, a date and time stamp displays in the “Date Sent” column.

If there is no time and date in the Date Sent column, then the file was never sent to the State shown.

If the file was previously sent, the existing date and time stamp will be updated to the current

date. The file will then be transmitted to the DCO specified.

### PEEP - Submission Files

Click on a File to Download

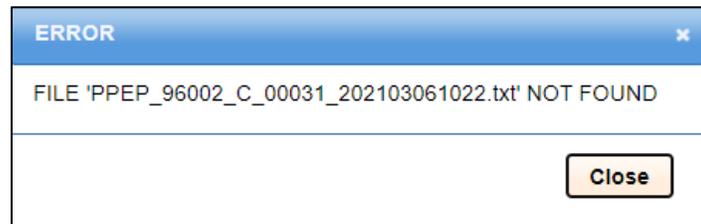
[Scroll To Bottom](#)

File Name	Date Created	State	Policy Numbers	Send Through CDX	Date Sent	
PPEP_99901_C_00020_201909230416.txt	9/23/2019 4:16:10 PM	MA	<a href="#">View Policy Numbers</a>	Send	9/23/2019 4:16:34 PM	File Will be deleted in 30 days

Once the submission has been sent, you will receive the following pop-up:

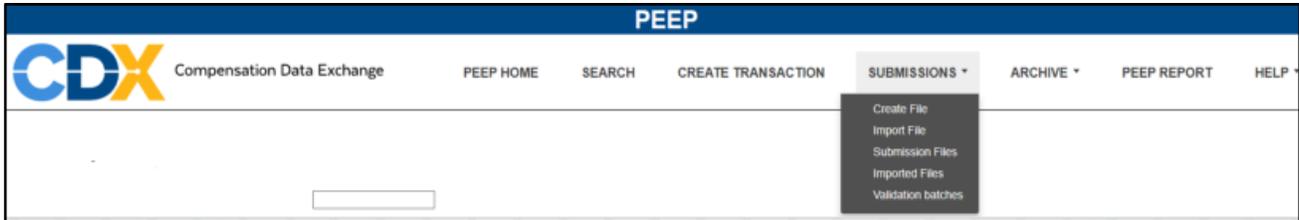


If the file no longer exists, you will receive the following pop-up:



## Imported Files

To view the “Imported Files” for an imported submission, you have two options. Either option navigates you to the “Imported WCPOLS Files” page.



You can click on “Imported WCPOLS Files” on the “Submission Confirmation” notification.

### Import WCPOLS File

It may take up to 30 min for the file that was just uploaded to show up in the [Imported WCPOLS Files](#) log

or

You can click on “Imported Files” under “Submissions” on the PEEP menu.

### Imported WCPOLS Files

File Name	Batch ID	Date Uploaded	Status	Records Rejected	Uploaded By	Error Record	Unauthorized Transactions	Delete File
Import Test File.TXT	253665	4/25/2022 3:14:03 PM	Complete	0	Test User	NO	NO	Delete

Page 1 of 1 (1 items)

The list of files on the “Imported WCPOLS Files” page includes the following information:

- File Name – Name of the imported file
- Batch ID - System created imported batch number
- Date Uploaded
- Status
- Records Rejected
- Uploaded By
- Error Record
- Unauthorized Transactions
- Delete Option

The most recent files submitted via FTP or via Web upload will appear at the top of the list.

**Note:** The files displayed will only show the files you yourself imported. To see all imported files by your UMG, you must have the Manage Users and Permission access associated with User ID.

If the file has been successfully imported with no errors, the “Records Rejected” column for that file will show “0”; likewise, the “Error Record” column for the same file will show “NO”.

If there were errors during the import, “Imported WCPOLS Files” will show the number of records rejected in the “Records Rejected” column, and the “Error Record” column for the same file will show “YES”. To determine why the records were rejected, click on “YES” under the “Error Record” column.

An “Errors Log Report” for that imported file will be displayed listing any errors detected by PEEP while trying to import the transactions from the file.

DUPLICATE LINK ERRORS				
Carrier Number	Policy Number	Policy Effective Date	Transaction Code Id	Dt Trans Issue
99901	WC04030	170401	01	17059

[Close](#)

When a submission being imported includes “Unauthorized Transactions”, this indicates you do not have proper security or permission to import transactions for that carrier. The transactions will be “Rejected” and you will need to click on “YES” to see more details. If you believe you are authorized to import these transactions, contact your primary administrator.

**Imported WCPOLS Files**

File Name	Batch ID	Date Uploaded	Status	Records Rejected	Uploaded By	Error Record	Unauthorized Transactions	Delete File
Import Test 4.txt	253668	4/25/2022 5:51:44 PM	Complete	49	Test User	YES	NO	Delete
Import Test File 3.TXT	253667	4/25/2022 5:21:33 PM	Complete	0	Test User	NO	NO	Delete
Import Test File 2.TXT	253666	4/25/2022 3:59:47 PM	Complete	17	Test User	NO	NO	
Import Test File.TXT	253665	4/25/2022 3:14:03 PM	Complete	0	Test User	NO	NO	Delete

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Note the option to delete an imported file is only available if none of the transactions have been validated. Once a transaction from the file has been validated, the option to delete is no longer available.

## Validation Batches

A validation batch is the result of the “Create File” validation process. PEEP provides a report with the status of each policy transaction that was validated from the “Create File” section. You can navigate to the “PEEP - Validation Batches” page, by clicking on “Validation Batches” under the “Submissions” tab.



Navigating to the “PEEP – Validation Batches” page, you will see a list of all the recent validation batches.

PEEP - Validation Batches								
Batch Identifier	Submitted Date	Completed Date	Success	Failure	Processing	Total	Submitted By	Generate Report
20190924-BPPPAX	9/24/2019 10:09 AM	9/24/2019 10:09 AM	1	1	0	2	Test User	<a href="#">generate</a>
20190923-YRWIFV	9/23/2019 3:47 PM	9/24/2019 9:34 AM	1	0	0	1	Test User	<a href="#">generate</a>
20190923-HKQLAJ	9/23/2019 3:19 PM	9/24/2019 9:34 AM	0	2	0	2	Test User	<a href="#">generate</a>
20190923-YYSHHW	9/23/2019 3:18 PM	9/24/2019 9:34 AM	0	1	0	1	Test User	<a href="#">generate</a>
20190923-WNRCPF	9/23/2019 3:15 PM	9/24/2019 9:34 AM	0	1	0	1	Test User	<a href="#">generate</a>

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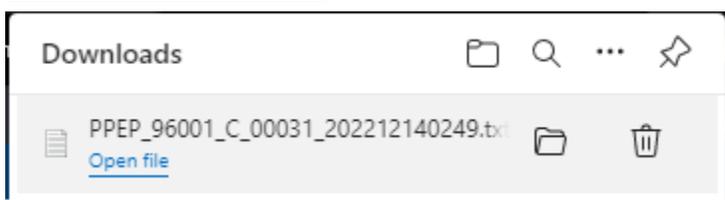
[Click here to update the status of your batches](#)

“PEEP - Validation Batches” includes the following information:

- Batch Identifier - System created validation batch number
- Submitted - Date and time the batch was submitted for validation
- Completed Date - Date and time the batch was completed
- Success - Number of transactions which passed the edits

- Failure - Number of transactions which failed the edits
- Processing - Number of transactions that are still processing
- Total - Number of transactions included in the batch
- Submitted by - User who submitted the batch
- Generate Report - Creates a “Validation Summary” report of the validated transactions

Click on “Generate” under the “Generate Report” column of the batch report you want to review. This begins the download process of the Validation Summary .PDF report.



Clicking on “Open file” displays the “Validation Summary” report.

Validation Summary						
Submitted By: TEST USER		Submitted: 9/24/2019 10:09:05 AM		Completed: 9/24/2019 10:09:19 AM		
Batch Id: 20190924-BPPPAX						
Summary						
Transactions Validated: 2		Passed Validation: 1		Failed Validation: 1		
Failure Summary						
Policy Number	Carrier Code	Effective Date	Primary Name	Trans Code		
WCTESTB	99901	2/1/2016	ABC	01		
Error #	Error Description	Field Value	Field Description	Record Type		
1	Field is Required for MA and can not be Empty		Type of Coverage ID Code	01 - Header Record		
2	Field is Required for MA and can not be Empty		Assigned Risk Adjustment Program (ARAP) Factor	04 - Additional Premium Information		
Passed Summary						
Policy Number	Carrier Code	Effective Date	Primary Name	Trans Code		
WCTESTA	99901	1/5/2016	AAA	01		

Same as “PEEP - Validation Batches”, the “Validation Summary” report also displays:

- Submitted by - User who submitted the batch
- Submitted - Date and time the batch was submitted for validation
- Completed Date - Date and time the batch completed the validations

There is a “Summary” section which displays:

- Transactions Validated - Total number of transactions included in the report
- Passed Validation - Number of transactions which passed the edits
- Failed Validation - Number of transactions which failed the edits

The next section is the “Failure Summary”, which includes the “Policy Number”, “Carrier Code”, “Policy Effective Date”, “Primary Named Insured”, and “Transaction Code” for each transaction that failed. This section also includes:

- Error # - Edit number
- Error Description – Reason the edit failed
- Field Value – Invalid value in the field
- The Field Description – Name of the data field that failed
- Record Type – Which page (record) the error will be found

The final section is the “Passed Summary”, which also includes the “Policy Number”, “Carrier Code”, “Policy Effective Date”, “Primary Named Insured”, and “Transaction Code” for each transaction that successfully passed the edits.

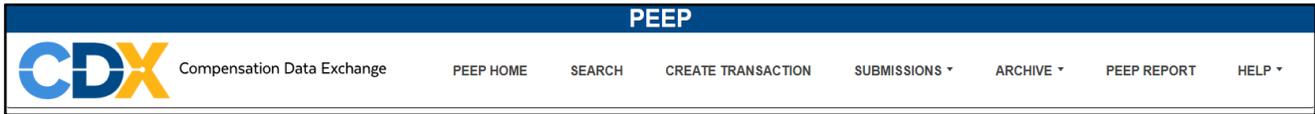
For more information on how to make the corrections, see the “Change Transaction” section for more information.

Once all the corrections have been made to the “failed” transactions, you will need to re-validate the transactions. See “Validation” section for more information.

Once the validation is completed, you can then include the transactions in a submission file and submit the file to the appropriate DCO.

# PEEP Report

The “PEEP Report” is a control report. You can run a “PEEP Report” to view limited Policy and Transaction information.



By clicking on the “PEEP Report” tab, you are navigated to the “PEEP Report Selection Criteria” page.

This page allows you to enter search criteria to find the transactions you want to include in the “PEEP Report”.

You can enter one or multiple search criteria.

### PEEP Report Selection Criteria

Transaction Start Date (MMDDYY):

Transaction End Date (MMDDYY):

Carrier Group #:

Click To Select Carrier for this Group

Carrier List

Transaction Type:

The PEEP Report Selection Criteria are as follows:

- Transaction Start Date (MMDDYY) - Transaction Issue Date
- Transaction End Date (MMDDYY) - Transaction Issue Date
- Carrier Group # - Dropdown
- You also have the option to select a specific carrier within a group. Click “Select Carrier” to display the “Carrier List” dropdown and select the specific carrier you want to include in the report.
- Transaction Type – Dropdown list of “Transaction Codes”

Fill in the appropriate criteria to locate the transactions you want to include on the report or click on “Reset” to clear your selections or to start a new report.

Once the criteria is set, click on “Run PEEP Report” to generate the report. The report can be downloaded and viewed as a CSV file, or it can also be imported into Excel.



Clicking on “Open file”

	A	B	C	D	E	F	G	H
1	PEEP Report							
2	Date Range							
3								
4	<b>Policy #</b>	<b>Trans #</b>	<b>Trans Name</b>	<b>Group #</b>	<b>Group Name</b>	<b>Carrier #</b>	<b>CA #</b>	<b>Carrier Name</b>
5	PEEPTSTPOLICY	03	Endorsements (other than annual rerate) (TransactionCode03)	99901	MA Tester Insurance Co	99901		MA Tester Insurance Co1
6	PEEPTSTPOLICY	08	Rating Change (TransactionCode08)	99901	MA Tester Insurance Co	99901		MA Tester Insurance Co1
7	TESTREINSTATE	05	Cancellation/Reinstatement (TransactionCode05)	99901	MA Tester Insurance Co	99901		MA Tester Insurance Co1
8	WC123456	01	New Policy (TransactionCode01)	99901	MA Tester Insurance Co	99901		MA Tester Insurance Co1
9								
10								
11	Overall Transaction Totals							
12		TC01		1				
13		TC03		1				
14		TC05		1				
15		TC08		1				

The report will display the “Date Range” from the selection criteria, and the specific DCO.

**NOTE:** The “Date Range” dates will not display in protected mode. Enable editing to display the dates.

The body of the report will include the following information:

- Policy # - Policy Number
- Trans # -Transaction Code
- Trans Name – Name of the transaction code
- Group # - Carrier Group Number
- Group Name – Carrier Group Name
- Carrier # - Carrier Number
- CA #
- Carrier Name

At the bottom of the report is a summary section with the “Overall Transaction Totals”. This will list the TCxx, which is the specific “Transaction Code” and the total number of those specific “Transaction Codes” included in the report.

## APPENDIX A: State Codes

United States	State Codes	
Alabama	AL	01
Alaska	AK	54
Arizona	AZ	02
Arkansas	AR	03
California	CA	04
Colorado	CO	05
Connecticut	CT	06
Delaware	DE	07
District of Columbia	DC	08
Florida	FL	09
Georgia	GA	10
Hawaii	HI	52
Idaho	ID	11
Illinois	IL	12
Indiana	IN	13
Iowa	IA	14
Kansas	KS	15
Kentucky	KY	16
Louisiana	LA	17
Maine	ME	18
Maryland	MD	19
Massachusetts	MA	20
Michigan	MI	21
Minnesota	MN	22
Mississippi	MS	23
Missouri	MO	24
Montana	MT	25
Nebraska	NE	26
Nevada	NV	27
New Hampshire	NH	28
New Jersey	NJ	29
New Mexico	NM	30
New York	NY	31

United States	State Codes	
North Carolina	NC	32
North Dakota	ND	33
Ohio	OH	34
Oklahoma	OK	35
Oregon	OR	36
Pennsylvania	PA	37
Rhode Island	RI	38
South Carolina	SC	39
South Dakota	SD	40
Tennessee	TN	41
Texas	TX	42
Utah	UT	43
Vermont	VT	44
Virginia	VA	45
Washington	WA	46
West Virginia	WV	47
Wisconsin	WI	48
Wyoming	WY	49

Canadian Provinces	Province Code	
Alberta	AB	61
British Columbia	BC	62
Manitoba	MB	63
New Brunswick	NB	64
Newfoundland & Labrador	NL	72
Northwest Territories	NT	60
Nova Scotia	NS	65
Nunavut	NU	70
Ontario	ON	67
Prince Edward Island	PE	66
Québec	QC	68
Saskatchewan	SK	69
Yukon Territory	YT	71

## APPENDIX B: File Naming Convention for CDX

PEEP will utilize the following naming convention when creating submission files to send to the DCOs. For carriers creating submission files, these instructions are online guidelines. During import, CDX does not validate the file name.

**Example: AAEP\_SSSSSC\_RRRRRR\_CCYYMMDDHHMMSS.FFF**

Where:

**\_ = 1 underscore delimiter** for readability

### **AA = Type of Data**

PP = WCPOLS – Policy data in PEEP format (ASCII)

### **E = Source**

E = CDX

D = Direct FTP

M = E-mail

### **P = Data Type**

P= Production

T = Test

**SSSSS** = Sender Carrier/State Code (preceded by ZEROS if code is less than 5)

### **C = Sender Type**

C = Carrier

T = TPA

D = DCO

**RRRRR** = Receiver Carrier/State Code (preceded by ZEROS if code is less than 5)

### **CCYYMMDDHHMM = Submission Date/Time**

CC = Century (i.e. 20)

YY = Year (i.e. 03)

MM = Month (i.e. 01 thru 12)

DD = Day (i.e. 01 thru 31)

HH = Hour (on a 24-hour clock [i.e. 01 thru 24])

MM = Minute (on 60 minute hour [i.e. 01 thru 60])

### **FFF = File Extension**

BIN = Binary

TXT = Text

## Glossary of Terms

<b>ASCII</b>	American Standard Code for Information Interchange. A standard coding scheme for representing characters as data
<b>ASWG</b>	Advisory Statistical Working Group—A group within the WCIO that developed the revised USR data format, and by extension, the formats themselves.
<b>Batch Number</b>	Identifies groups of USRs as they are entered into BEEP® on a particular date
<b>BEEP®</b>	Bureau Entry & Edit Package—A web-based application designed to give Insurers the ability to enter, validate and submit Workers Compensation statistical information.
<b>Breadcrumbs</b>	A link to a prior screen
<b>Bureau Version Identifier (Edition Number)</b>	An identifier used to correspond to a specific endorsement number reported previously
<b>Carrier Version Identifier</b>	An identifier used to determine the version of the endorsement applied to a policy
<b>CDX®</b>	Compensation Data Exchange. CDX® is a secure Internet based service that facilitates the electronic transmission of Workers' Compensation data between member insurers and DCOs
<b>Correction Report</b>	A USR which revises previously reported data within a report level, correction reports are sequentially numbered (i.e., the first, second or third correction to a First Report)
<b>DCO</b>	Data Collection Organization – An organization that collects workers' compensation information. A DCO can be a bureau, jurisdiction or statistical agent
<b>Date Entered</b>	The date a USR was entered into BEEP® either by data entry or import
<b>EBCDIC</b>	Extended Binary Coded Decimal Interchange Code - A standard coding scheme for representing characters as data commonly used on mainframe computers (compare ASCII).
<b>Edit Status</b>	Defines the state of the transaction within PEEP® and BEEP®. Edit statuses are defined in the associated User Guide.
<b>Employee Leasing Policy Type Code</b>	A code used to identify the type of employee leasing policy.
<b>Endorsement Number</b>	An identifier used to report an endorsement number

<b>Endorsements with Variable Data</b>	These are the individual endorsements that are attached to a policy that contain information beyond the standard endorsement wording. Meaning the endorsement requires policy specific variable text
<b>ETR</b>	Electronic Transmittal Record – Is the first line of a submission file used to identify data within, and destination of a submission
<b>Exposure Period Code</b>	A code used to identify the period covered by the reported estimated exposure amount.
<b>EXR</b>	Product used to access rating data from participating DCOs
<b>First Report</b>	The initial USR for a policy, which reflects policy, exposure, premium, and loss information that is valued and submitted per the established USR valuation schedule
<b>IAIABC</b>	International Association of Industrial Accident Boards and Commissions - A non-profit trade association providing workers' compensation information and education
<b>Import</b>	To bring data into a computer system from an external source. PEEP® provides the facility to import policy transactions (WCPOLS) and BEEP® provides the facility to import USRs (WCSTAT).
<b>Legal Nature of Entity Code</b>	A code used to identify the type of entity(s) being insured. (Reported in the Name Record)
<b>Legal Nature of Insured Code</b>	A code used to identify the type of entity(s) being insured. (Reported in the Header Record)
<b>Link Data</b>	The data elements which are required to be reported consistently for all records within a transaction. Link data is used to keep these records connected for processing, storage and identifying duplicate data
<b>Name Link Identifier</b>	An identifier used to link names with their corresponding addresses and exposures.
<b>PEEP</b>	Policy Entry and Edit Package— A web-based application designed to give Insurers the ability to enter, validate, and submit Workers Compensation policy information
<b>POC</b>	Proof of Coverage – Data derived from a workers' compensation policy which is used by state accident boards and commission to verify workers' compensation coverage for the employers in their state.
<b>Policy Change Effective Date</b>	The date of change or addition reported on the record
<b>Policy Change Expiration Date</b>	The date of change or deletion reported on the record

<b>Primary Administrator</b>	The administrator responsible for a CDX User Management Group (UMG)
<b>Replacement Report Code</b>	A code used to report if the USR is replacing a previously submitted report
<b>Retrospective Rating Code</b>	A code used to report the type of retrospective rating plan applied
<b>Secondary Administrator</b>	A CDX User delegated some administrator privileges
<b>SFTP</b>	Secure File Transfer Protocol – Provides a secure method for sending or receiving files in CDX
<b>SSL</b>	Secure Sockets Layer – An interface between applications (such as browsers) and the Transmission Control Protocol/Internet Protocol (TCP/IP) protocols to provide server authentication, client authentication, and an encrypted communication channel between client and server.
<b>State Unemployment Number</b>	The unemployment number issued by a given state.
<b>Submission File</b>	An electronic file created to submit data.
<b>Subsequent Report</b>	A USR that is valued and submitted on a predetermined 12-month schedule after the First Report. Subsequent Reports provide updated information on losses from the Second Report through the Tenth Report.
<b>TPA/TPE</b>	Third Party Administrator/Third Party Entity – An organization that processes insurance transactions for a separate entity
<b>Transaction Issue Date</b>	The date of issuance of the transaction
<b>Transaction Type Code</b>	The code use to identify the type of transaction that is being submitted by the carrier. See the WCIO for the list of possible values.
<b>UMG</b>	User Management Group – Represents a group of users managed by a single Primary Administrator
<b>Validate</b>	The process of running edits

## Summary of Changes

Page, Section, etc.	Date of Change	Change/Update
All	12/28/2022	Guide reviewed for accuracy and additional content