

Workers' Compensation Reporting Requirements: Paper Forms

RI Department of Labor and Training (RIDLT) requires reporting of both legal documents (paper forms) and electronic reporting (EDI transactions). In general, both a paper form and an EDI transaction are required when weekly indemnity benefits start, change, or stop, and when a one-time payment is made. These instructions outline the requirements for legal documents and include limited information on EDI transactions. Additional detailed instructions for individual legal documents and the EDI process are available on RIDLT's web site at <http://www.dlt.ri.gov/wc/>.

1. Reporting an Injury. A work-related injury requiring medical treatment, where the employee is unable to work for more than three days, or that is fatal must be reported to RIDLT. The employer reports the injury to the workers' compensation insurer or third-party administrator handling claims, known as the claim administrator. The claim administrator must report the injury electronically to the RIDLT by sending an electronic First Report of Injury (FROI 00). RIDLT no longer accepts paper first reports of injury.
 - a. Fatalities must be reported within 48 hours.
 - b. Non-fatal injuries must be reported within 10 days of employer's knowledge.
 - c. A \$250 fine may be imposed for failure to report on time.

2. Medical Only.
 - a. In Rhode Island, an injury must be reported if the injured worker received medical treatment, even if there is no medical bill for the treatment. The injury may appear to be notice only. RIDLT accepts notice only first reports, but they are not required if there was no medical treatment.
 - b. If the employee is unable to work for three days or less, no weekly indemnity benefits are due. The injury is considered to be medical only or notice only.
 - c. When the claim closes, the claim administrator sends an electronic Subsequent Report of Injury Final transaction (SROI FN) to report medical paid and the claim closing.
 - d. NOTE: the EDI final transaction is NOT the same as a Final Report of Indemnity Payment Form DWC-22. That form is no longer used.
 - e. No paper form is required.

3. Denied. The claim administrator may choose to deny the claim.
 - a. No paper form is required by law for a denial.
 - b. Notify the employee that the claim is denied. There is no RIDLT paper form for notice of denial.
 - c. Notify RIDLT with an electronic denial (FROI 04 or SROI 04).
 - d. Notify RIDLT when the claim is closed with an EDI final transaction (SROI FN).

- e. NOTE: the EDI final transaction is NOT the same as a Final Report of Indemnity Payment Form DWC-22. The DWC-22 form is no longer used.
4. Indemnity benefits **without** liability start.
- a. A claim administrator may pay indemnity benefits without liability for up to 13 weeks. After 13 weeks, liability is established.
 - b. The claim administrator files a Nonprejudicial Agreement Form DWC-20 with RIDLT with a copy to the employee and attorney before benefits begin.
 - c. The claim administrator files a Wage Statement Form DWC-03 and Dependency Form DWC-04 as part of the legal agreement. An agreement is incomplete until a Wage Statement and Dependency Form are filed.
 - d. The claim administrator sends an electronic initial payment (SROI IP) to RIDLT.
 - e. Indemnity payments made without a legal agreement filed with RIDLT may be considered by RI WC Court to be gratuitous and not to count as payment of compensation.
5. Indemnity benefits **without** liability end.
- a. The claim administrator files a Termination of Benefits Form DWC-21 with RIDLT with a copy to the employee and attorney when weekly indemnity benefits paid **without** liability end.
 - b. The claim administrator sends an electronic suspension (SROI S1) or other appropriate electronic suspension (SROI S2, S3, S4 ...) to RIDLT.
 - c. NOTE: the EDI suspension transaction is NOT the same as a Suspension Agreement and Receipt Form DWC-05.
6. Indemnity benefits **with** liability start.
- a. If the claim administrator chooses to accept liability or pays indemnity benefits beyond 13 weeks, a Memorandum of Agreement Form DWC-02 is required. The claim administrator must file a Memorandum of Agreement Form DWC-02 with RIDLT with a copy to the employee and attorney.
 - b. A Wage Statement Form DWC-03 and Dependency Form DWC-04 are required as part of the legal agreement. If these forms were filed as part of the Nonprejudicial Agreement, new forms are not needed.
 - c. The claim administrator sends an appropriate electronic SROI depending on the situation.
 - d. Indemnity payments made without a legal agreement on file at RIDLT may be considered by RI WC Court to be gratuitous and not to count as payment of compensation.
7. Indemnity benefits **with** liability end.
- a. The claim administrator and the employee sign a Suspension Agreement and Receipt Form DWC-05 when the parties voluntarily agree to end indemnity benefits with liability. A copy is filed with RIDLT and distributed to all parties.

- b. The claim administrator may petition the RI WC Court to end benefits. RIDLT will receive a copy of the order from the RI WC Court. No paper form is needed from the claim administrator.
 - c. The claim administrator sends an electronic suspension (SROI S1 or other EDI suspension) to RIDLT when benefits end.
 - d. NOTE: the EDI suspension transaction is NOT the same as a Suspension Agreement and Receipt Form DWC-05.
 - e. In this situation, both the legal form and the EDI form are required.
8. Indemnity benefits change.
 - a. The claim administrator and employee sign a Mutual Agreement Form DWC-24 documenting the changes to benefits.
 - b. The claim administrator files the Mutual Agreement Form DWC-24 with RIDLT. A copy is distributed to all parties.
 - c. The claim administrator may alternatively file an amended Nonprejudicial Agreement or an amended Memorandum of Agreement with RIDLT and copy to all parties, especially in the case of an estimated compensation rate pending the employer's wage information.
 - d. The claim administrator sends the appropriate electronic transaction (SROI) to report the change. See EDI rules for more information.
9. Agreed upon Payment for Specific Injury: Disfigurement or Loss of Use.
 - a. The claim administrator and employee sign a Mutual Agreement Form DWC-24 documenting the payment disfigurement or loss of use.
 - b. The claim administrator files a copy of the Mutual Agreement Form DWC-24 with RIDLT. A copy is distributed to all parties.
 - c. If disfigurement or loss of use is ordered by the RI WC Court, RIDLT will receive a copy of the order from the RI WC Court. No paper form is needed from the claim administrator.
 - d. The claim administrator sends an electronic payment report (SROI PY) to RIDLT.
10. Court ordered benefits.
 - a. RIDLT receives copies of orders from the RI WC Court.
 - b. No additional paper documents are required from the claim administrator unless specified in the court order.
 - c. It is common for the court to order a Wage Statement Form DWC-03 be filed with RIDLT to determine compensation rate.
 - d. The claim administrator must send an appropriate electronic transaction (SROI) depending on the nature of the court order.
11. Claim closed.
 - a. The claim administrator must send an electronic final (SROI FN) to RIDLT when a claim is closed.
 - b. NOTE: the EDI final transaction is NOT the same as a Final Report of Indemnity Payment Form DWC-22. That form is no longer used.

- c. No paper form is required.
12. Re-open (Recurrence).
- a. If paying indemnity benefits **without** liability, the claim administrator must file a Nonprejudicial Agreement Form DWC-20 with copies to the employee and attorney.
 - b. If paying indemnity benefits **with** liability, the claim administrator must file a Memorandum of Agreement Form DWC-02 with copies to the employee and attorney.
 - c. If the employee returned to work for 26 weeks or more after the previous disability:
 - i. Calculate a new compensation rate. A new Wage Statement Form DWC-03 and Dependency Form DWC-04 are required.
 - ii. Use wages prior to the first day of incapacity for **this** subsequent disability period, not the original first day of incapacity for the injury.
 - iii. The maximum compensation rate is based on the first day of incapacity for **this** subsequent disability period.
 - d. An electronic reinstatement of benefits transaction (SROI RB) must be sent.
13. Re-close.
- a. If benefits were paid without liability under a Nonprejudicial Agreement, the claim administrator files a Termination of Benefits Form DWC-21 when benefits end.
 - b. If benefits were paid with liability under a Memorandum of Agreement or court order, the claim administrator files a Suspension Agreement and Receipt Form DWC-05 (with liability) when benefits end.
 - c. The claim administrator may petition the RI WC Court to end benefits. RIDLT will receive a copy of the order from the RI WC Court. No paper form is needed from the claim administrator.
 - d. The claim administrator sends an electronic suspension transaction when weekly indemnity benefits end (SROI S1 or other EDI suspension).
 - e. NOTE: the EDI suspension transaction is NOT the same as a Suspension Agreement and Receipt Form DWC-05.
 - f. The claim administrator sends an electronic final transaction (SROI FN) when the claim is closed or re-closed.
 - g. NOTE: the EDI final transaction is NOT the same as a Final Report of Indemnity Payment Form DWC-22. That form is no longer used.

See the additional instructions on completing each legal document on RIDLT website:
<http://www.dlt.ri.gov/wc/>.

See additional instructions on electronic filings at <http://ridltedi.info/>.

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