

## FAQs about Compliance, Records and Training (CRT) unit's request for information (RFI) process

### **When did this new process start?**

Effective July 17, 2023, the Compliance, Records and Training unit (CRT) of the Department of Labor and Industry's (DLI's) Workers' Compensation Division began sending requests for information (RFI) via encrypted email.

### **What changed?**

Instead of sending an email message through Work Comp Campus, the request is sent via encrypted email, and no PIN is needed.

### **Who is the encrypted email sent to?**

An RFI can be sent to any of the email addresses designated by your organization in Campus to receive information requests from DLI at the time the email was sent.

CRT strongly encourages all claim administrators to adjust their Campus permission of "designated contact for information requests from DLI" to a single email address and remove that permission from all other users.

A benefit of this approach, from a management standpoint, is that tracking the requests will be easier because the requests will then flow through a centralized point rather than through individual adjusters.

To check the current status and make updates to your organization's permissions for email, view the group administration manual at [dli.mn.gov/sites/default/files/pdf/campus\\_group\\_administration\\_manual.pdf](https://dli.mn.gov/sites/default/files/pdf/campus_group_administration_manual.pdf).

### **I'm having an issue opening the encrypted email message, what should I do?**

Follow up with someone from your organization regarding access. If unable to determine an internal problem, contact the [Workers' Compensation Division Help Desk](https://dli.mn.gov/helpdesk) at 651-284-5005 (press 3), 800-342-5354 (press 3) or [helpdesk.dli@state.mn.us](mailto:helpdesk.dli@state.mn.us).

### **In the past, I may have received a second request prior to a penalty being issued. Are these still being sent?**

Effective July 17, 2023, only one request will be sent.

Note this comment is from the Aug. 18, 2023, GovDelivery email: In the past, additional requests for information (RFI) were sent when there was no response to the initial RFI. Such additional requests will no longer be sent and penalties will resume.

### **How much time do I have to respond?**

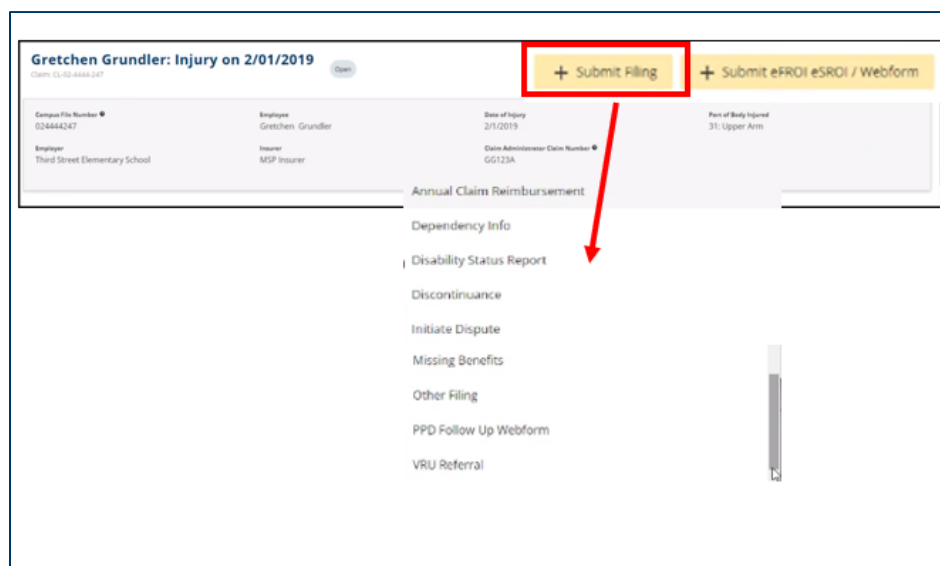
To be compliant and avoid penalties, respond to all items on the RFI within 30 calendar-days of the encrypted email message date.

### **I received an RFI on a claim my company no longer handles, what should I do?**

Your response should be to call the compliance officer and provide the name of the new insurer or claim administrator, along with the effective date. Otherwise, it will be considered as a failure to respond, and may result in a penalty.

### **I received an RFI on my claim or a claim my company handles, how do I respond?**

1. Read the entire email message. This is important as it shows:
  - Claim details, including the Campus claim number and the claim administrator's claim number.
  - The body of the email shows the details of the information being requested. Note: there may be more than one question or issue that needs to be resolved.
  - The compliance officer's phone number is listed at the bottom of the email. Call if you need clarification of the questions or issues posed in the email. Note: emailed replies and submissions will not be accepted and are considered invalid.
2. Respond in Campus:
  - To begin your response in Campus, log into Campus and open the employee's claim. Once you access the employee's individual claim, the "claim details" page will load.
  - Responses may include one or more actions such as:
    - i. submitting an electronic data interchange (EDI) transaction;
    - ii. uploading a document or written reply;
    - iii. issuing an additional payment; or
    - iv. completing a webform.
  - If the response involves an EDI submission, follow your company's procedure.
  - For all other types of responses, click the "submit filing" button in the upper right-hand corner and select the option that best aligns with your action(s).



### 3. React timely.

- To be compliant and avoid penalties, respond to all items on the RFI within 30 calendar-days of the email message.

#### **How can I confirm the responses were successfully submitted in Campus?**

Review the employee's Campus claim. It is your responsibility within your organization to confirm that an RFI response was accepted either by reviewing Campus for EDI transmission or documents uploaded. Calls or emails to the compliance officer to confirm if everything is complete will not be responded to.

- If an EDI transaction was submitted, look for the accepted transaction in the claim's "reporting history" tab.
- If a document was uploaded or generated, look for it in the claim's "documents" tab.
- If an additional payment was made, look for it in the claim's "reporting history" or "claim payments or benefits" tab.
- If a webform was submitted, look for it in the claim's "documents" tab.

#### **Can I call the compliance officer?**

We welcome calls to the compliance officer for clarification on the issues or questions posed in the RFI.

Calls or emails to the compliance officer to confirm if everything is complete will not be responded to. Note: emailed replies and submissions will not be accepted and are considered invalid.

#### **What if I have technical difficulties when I am attempting to respond to the RFI?**

Contact either the Campus Helpdesk to create a ticket or email the EDI team so we can help with the issue. Then, call the compliance officer and provide the status information. This may avoid a penalty.

#### **What is the penalty being issued?**

Failure to respond to the original RFI will result in a prohibited practice penalty.

Per Minn. Stat. § 176.194 Subdivision 3(6): "Failing to respond to the department within 30 calendar-days after receipt of a written inquiry from the department about a matter related to benefits. Responses must be substantive and address the question."

#### **What is the penalty structure?**

The penalty amount is based on the number of penalties assessed against the party for violations based on a rolling 12-month period prior to the current violation.

- The first five violations result in a written warning.
- The sixth through 10th violations result in a \$3,000 penalty.
- Eleven or more violations result in a \$6,000 penalty.

#### **How can I avoid a prohibited practice penalty?**

1. Read the entire email message. This is important because it may contain multiple questions or issues to be addressed.
2. Respond to all requests in Campus. Responses must be substantive and address all questions and issues.
3. React within 30 calendar-days of the emailed message date.

**What happens if a prohibited practice penalty is assessed and no response is shown in the Campus file?**

Consider the penalty assessment as another request for the information sought by DLI. If there is no response to that additional request, another penalty may be issued.

**How can I ensure I am receiving the latest information from DLI's Workers' Compensation Division?**

Sign up for one or more of our Workers' Compensation Division email lists for updates at [dli.mn.gov/about-department/news-and-media/sign-news-department-labor-and-industry](https://dli.mn.gov/about-department/news-and-media/sign-news-department-labor-and-industry).