

## *ECF2: Notify (Claims Workflow Triggers)*

### Functional Specification

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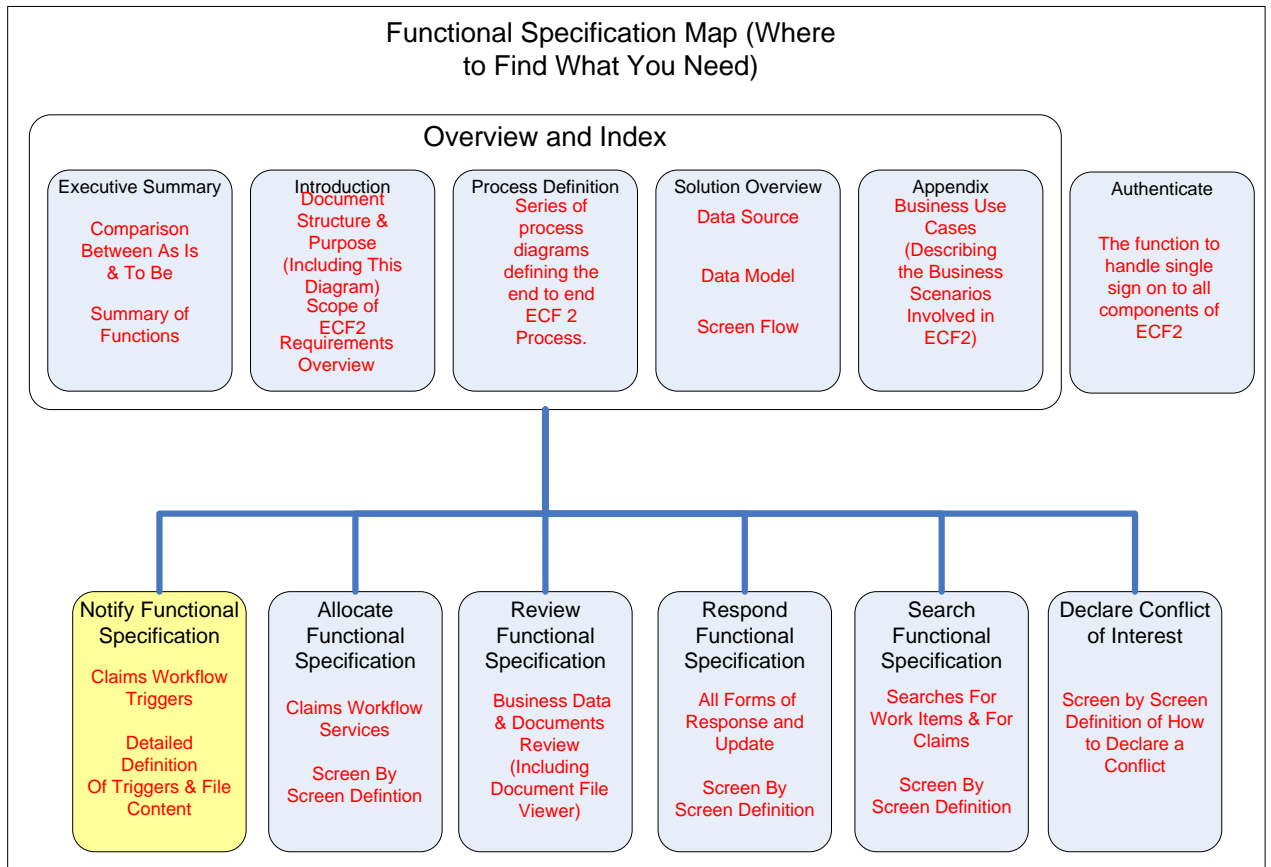
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# 1 Introduction

This document describes the screens, functions and data required for the Notify (formerly Claims Workflow Triggers) function within ECF2.

The following map is designed to aid navigation around the different documents and to provide a guide about where to look for particular information required. This map will appear in each document with the yellow shading indicating which document the reader is currently in.



## 2 Background to Notify

The current ECF functionality for triggering action by Carriers consists of the CLASS awaiting actions list and/or an overnight “csv” file extract of new transactions created in the previous day. These current functions have proven to be inadequate for customer needs and as part of the ECF2 programme of work Xchanging is developing alternative feeds for Carriers for use in their own work management or workflow system. This facility known as “Claim Workflow Triggers” or “CWT”, has now been made an integral part of the ECF2 suite of functionality and is referred to as the “Notify” function.

The Notify function will be based upon events that occur within each of the CLASS systems and will create a data extract to any carrier who registers to use the service.

The Notify function is primarily designed for those carriers who have their own claims workflow applications, however the same data will also be used to drive the integrated Claims Workflow or Allocate function within ECF2.

To support individual carriers own workflow systems the principal data requirement is to receive a record for each event or action taken relating to a claim transaction in any of the bureau CLASS systems, i.e. CLASS @ Lloyd’s, LIRMA or ILU. The data file provided will be a standard layout and contain the same fields regardless of the bureau of the recipient, although the data content of each field will vary.

Note: Notify will not provide notification that documents have been loaded or amended on the IMR. Notify only advises changes to a CLASS/ECF record.

Carriers who opt to take the Notify file will be required to register for the service and will have the option to select the frequency of receipt of the file.

There will be two file formats available to subscribe to:

1. **A New Daily CSV file** – This file will be provided on a daily basis and will contain the information provided in the existing Lloyd’s and company daily CSV files plus some additional fields. The events reported will be extended from the existing files. The fields provided in this format are listed in Appendix 1 in the New CSV column.
2. **Claims Workflow Triggers file** – this file format will include additional fields to the New Daily CSV file as described Appendix 1 and listed in the CWT column. However, this file will be available more frequently than once a day and the customer will be able to specify the frequency of delivery within a small range of options. See section 5.6.

Responsibility for filtering the data contained within these files to meet a specific customer requirement will remain with the subscribing customer.

Note that today’s CSV file shows new claim transaction advices loaded by the broker that day, on which the company is a carrier in the relevant market (Lloyd’s, ILU, LIRMA). This file is not designed to prompt workflow and does not include statuses or details of actions taken.

### 3 Solution Overview

#### 3.1 General Approach

##### 3.1.1 Creation of files

The creation of the daily CSV file will be performed at the end of each day and placed in a secure location where customers can collect the file on a daily basis via SFTP or have the file sent via email. The files will be created using the same mechanism as the CWT file as described below.

The CWT file will require the extract of data from CLASS when each event occurs. The data will be extracted to a database table where the files will be created for distribution based on the requirements established when the customer registers for the service. This file will be created in XML format and passed to the Xchanging Distribution Hub (XDH) for conversion to CSV format. XDH will be the vehicle to distribute the files for customers via email or to collect via SFTP.

Please note that notifications are only triggered by events in CLASS; there are no actions within the IMR that will trigger a notification.

An overview of the file creation process is set out below:

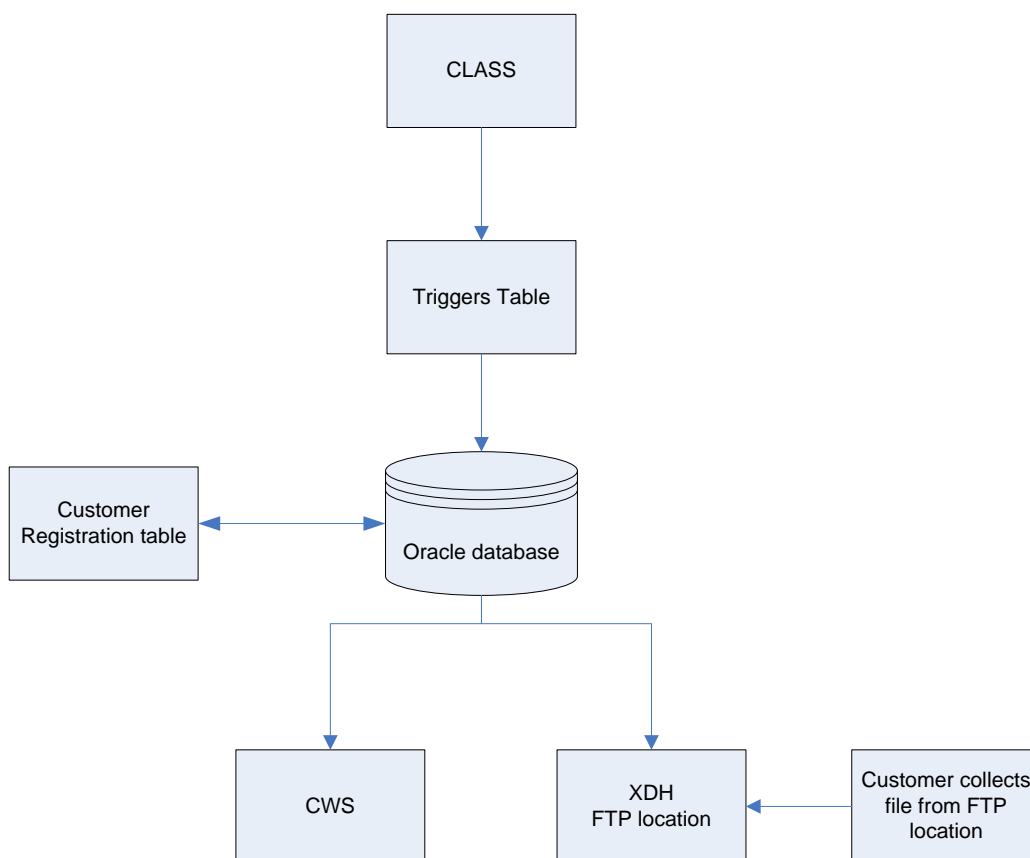


Figure 1 – CWT data feed mechanism

### 3.1.2 CLASS Data Extract

A data extract will produce a file from each instance of CLASS (Lloyd's, ILU and LIRMA) consisting of all transactions created and subsequent actions taken on the transaction. The events giving rise to this will be one of the following:

- Claims transaction created by Broker
- Claims transaction correction or amendment by Broker
- On-line responses and updates by agreement party (including changes to agreement parties and changes to that data an agreement party is allowed to change)
- Deletion of the transaction by the Broker or Leader
- Completion of the transaction within CLASS
- Purging of a claim (for more detailed explanation of the purge process, please refer to section 7)
- A claim is in error

On each occasion that one of the defined events occurs, a new data extract for the transaction on the claim will be created for each participating carrier; these events will be included on a file and transmitted to the recipient organisation in line with the preferred frequency specified by the user organisation (see section 5.6).

Prior to the launch of the full productions service of CWT a backload will be performed, consisting of all Lloyd's and ILU transactions that have not been fully completed and LIRMA transactions that have not been circulated by the leader. This means that in the event of purge of a transaction or the broker amending the transaction on-line on which there has been no activity since CWT implementation, the change in status can still be reported.

If more than one event occurs on the same transaction within a very short period of time each event will be reported but the data content, other than the description of the event itself, will be that of the final event in the group. The exceptions to this are those cases where the transaction is created and deleted very soon thereafter in which case the transaction may never be advised at all. The list of fields that are synchronously updated for each event are indicated in Appendix 1.

### 3.1.3 Production of the Files

The data available to be output is defined in Appendix 1. There will be two standard options available to recipients as follows;

1. The Replacement to the current **New/Replacement Transactions File** produced at the end of each working day called “New Daily CSV File”. This will contain additional fields to those in the current file. Note: the existing files will not be removed in the short term.
2. A **CWT** file containing records produced each time an action is taken on the transaction including the details of the particular action taken at that time (e.g. a leader response) called “CWT CSV File”.

It is intended that an organisation will be able to select a frequency of file receipt. Organisations using the CWT service will specify their preferences via the registration process described later in this document.

### 3.1.4 CWS extract

In addition to these customer files a feed will be provided of all events for all carriers which will be used to populate the Claims Workflow Service database. This file will be created in XML and will be produced at the minimum frequency for files to be produced i.e. every 15 minutes. As set out in the diagram in figure 1, this feed will be created using the same mechanism as that used to generate the CWT and daily CSV files.

### 3.1.5 PbS Query Information

Carriers will be notified of the following two events for PbS Claims that have been queried:

- A Query has been raised by Central Services for the attention of the Carrier
- A Query raised with the Broker has been responded to by the Broker

In both instances an accompanying HTTP link to the PbS Online will be included which will direct the Carrier to the Query detail and allow:

- Review and respond to the Query raised by Central Services
- View the response made by a Broker to a Query

### 3.1.6 Interim and Co-Ordinated Responses

The ECF Binders project is introducing the concept Co-Lead grouping whereby all the UCR's within a Co-Lead group must have a coordinated response. This will mean the addition of two new status codes to indicate that the whole Co-Lead group has not reached a fully coordinated status

- Conditionally Queried
- Conditionally Authorised



These responses will only be sent when they relate to a response made by the carrier receiving the CWT file, i.e. a carrier will not be notified of interim responses made by other carriers on associated Co-Lead transactions.

Coordinated responses will be represented by existing transaction statuses (i.e. Fully Authorised, Queried).

Additionally, a new Role of Coordinated Lead is to be introduced.

### **3.1.7 Suppressed Lead**

The ECF Binders project is introducing the concept of Master-Subordinate grouping whereby the response on the Master UCR is automatically applied to the Subordinate UCR's, with the Sub-Ordinate UCR not requiring an explicit response to be made.

To facilitate this Subordinate claims and automated responses on these claims will be notified to carriers on the Subordinate UCR with a role of "Suppressed Lead".

## 4 Operational Scenarios

### 4.1 Business Scenarios

This section of the document summarises the business scenarios arising and how they will impact the output of data – as a broker creates or revises the transaction (claim advice) or carriers respond.

The effect of each business scenario on a recipient of the message will vary according to which messages the organisation requests. The following list of scenarios is not exhaustive but representative.

#### 4.1.1 Carrier Receiving New / Replacement Transactions Only (replacing the Existing CSV File)

Action	Outcome
Broker loads transaction for single bureau (This includes all types of transactions such as rate of exchange adjustments and contra corrections)	Every registered carrier on that claim receives an entry on the file
The transaction loaded is a settlement request from a subset of the market on the claim (excluding Lloyd's)	The impacted carriers are advised only. This will include a bureau lead required to agree but not party to the settlement.
Broker loads the same transaction for more than one bureau	Every registered carrier on each bureau claim receives an entry on the file. If applicable the identity of the slip lead is included.
Broker loads new transaction(s) using previously cancelled TR	The item is advised to carriers and broker as though it is a new transaction. Carriers own workflow systems will be able to relate this transaction to the one previously advised by making use of the UCR & TR
The broker loads a transaction and the signing supplied identifies a choice of markets (Lloyd's Only)	The item is reported only to the Xchanging department that resolves market check and to the broker that loaded the item
XCS complete the market check and release the claim to the market	Every registered carrier on that accepted market receives an entry on the file
XCS complete the market check and do not release the claim to the market	Not Reported
The broker deletes a transaction that is not yet full agreed for a specific bureau	Not Reported
The broker amends data on an existing transaction that causes any responses already made to be re-set	Every registered carrier on that accepted market receives an entry on the file
One of the broker actions above causes the identity of the slip lead to be changed	Every registered carrier on that accepted market receives an entry on the file
The agreement party (including any of the XCS roles) responds to the claim	Not Reported
Carrier declares conflict of interest	Not Reported
Transaction is signed within CLASS	Not Reported

#### 4.1.2 Standard Trigger File

Action	Outcome
Broker loads transaction for single bureau (This includes all types of transactions such as rate of exchange adjustments and contra corrections)	Every registered carrier on that claim receives an entry on the file
Broker loads the same transaction for more than one bureau	Every registered carrier on each bureau claim receives an entry on the file. If applicable the identity of the slip lead is included, but the slip lead response status is only included for the bureau to which the slip lead belongs. Organisations with a participation on more than one market will be able to combine the information by using the UCR and TR.
Broker loads new transaction(s) using previously cancelled TR	The item is advised to carriers and broker as though it is a new transaction. Carriers own workflow systems will be able to relate this transaction to the one previously advised by making use of the UCR & TR
The broker loads a transaction and the signing supplied identifies a choice of markets (Lloyd's Only)	The item is reported only to the Xchanging department that resolves market check.
The broker deletes a transaction that is not yet fully agreed for a specific bureau	The deletion is reported to all carriers for that bureau only but also refer to section 3.1.2.
The broker amends data on an existing transaction that causes any responses already made to be re-set	The item is reported to all carriers for that bureau only as long as the change does not result in it being saved in an error state
The broker amends data on an existing transaction that does not cause any responses already made to be re-set	The item is reported to all carriers for that bureau only
The agreement party (including any of the XCS roles) responds to the claim without changing any data other than to make the response and to add comments	Reported to all carriers for that bureau (including the one responding at this time)
The agreement party changes one or more element of data other than response and comments	Reported to all carriers for that bureau (including the one making the change at this time)
Carrier declares conflict of interest	Not Reported
Carrier selects a multiple response option on behalf of all carriers they are authorized to respond for. (LIRMA only)	Reported to all carriers for that bureau (including the one responding at this time) <b>NB:</b> if a LIRMA organisation has more than one company line for a claim and responds to all lines with a single response, each line must be included separately on feed.
Carrier responds "Yes" or "CAA" on a claim marked as "minor precautionary" setting the response for all other carriers to "Yes" or "CAA"	Reported to all carriers for that bureau
Lead changes automated "Yes" or "CAA" response on a claim marked as "minor precautionary"	Reported to all carriers for that bureau
Carrier responds "Yes" or "CAA" on a claim marked as contractual condition setting the response for all other carriers to "Yes" or "CAA"	Reported to all carriers for that bureau
Lead changes automated "Yes" or "CAA" response on a claim marked as contractual condition	Reported to all carriers for that bureau
Action taken results in the transaction status reverting to a status lower than 10 (non advisable)	Reported to all carriers that status has been changed to be less than 10. No further advice to be produced until status moves to be higher than 10
Purge of claim	See section 3.1.2

## 5 Output Definition

### 5.1 Trigger of Events

Once the claim transaction reaches a certain level of completeness, as specified in the table below, the first extract of data is triggered. Thereafter, further events cause the data to be refreshed with the revised status and any revised data. Each of these events will be logged. The log file will be used for the purposes of a workflow trigger.

The trigger files to the customer will be produced at 60 minute intervals. In the event of more than one event occurring on the same transaction since the data was last extracted, the status information relating to each event will be reported, but the remaining data on each row will reflect that of the last event in the sequence. Several factors influence the occurrence of this and therefore it is only likely to occur when items are up to five minutes apart.

The following table contains events giving rise to an entry on the log file on CLASS. All agreement party actions taken in CLASS will cause an entry in the triggers table.

Action	Event Name
Broker Releases Transaction	Create
Broker Re-submits Transaction	Re-submit
XCS Market Check Passed	Market Check
Broker Deletes Transaction	Delete
Further agreement parties Appointed	Add agreement parties
Authorise or Agree Transaction	Agreement parties Action
Query Transaction (Lloyd's Only)	
Circulate Transaction (LIRMA only)	
Pend Transaction	
Leader un-purges transaction	
Reject Transaction (LIRMA only)	
Transaction is Completed	Complete
Removal of Agreement Parties	Remove agreement party
Delegation	Delegate
Purge claim	Purge

### 5.2 Data Production

The organisation will register for the relevant option(s) as described in section 5.3. This will result in the data being extracted from the staging area into the Xchanging Distribution Hub (XDH). XDH will then facilitate the dispatch via SFTP or email.

When an organisation registers to receive combined output for more than one entity (for example, multiple syndicate numbers handled by one managing agency), the data for each entity within that organisation will be dispatched together.

For example, if an organisation ABC registers for its 3 carrier IDs they will receive one file with all transactions for their registered Carrier ids incorporated.

When an organisation has registered for the Trigger File at a low frequency and more than one event (an event being a response to an advice) has taken place since the last output, all such events will be included on the same file and will be represented in different rows.

### **5.3 Claims Workflow Service output**

A version of the CWT file will be produced for the CWS Allocate function. This will be provided for each carrier registered to use ECF2 so that full records are kept in CWS of transactions.

The file will be provided to CWS as for individual carriers but will be provided in XML format.

### **5.4 Service Registration**

Any carrier that wishes to subscribe to either the new daily CSV file, or the CWT file, will be required to register for the service with Xchanging. Xchanging will record the relevant information regarding the service required; this will include:

- carrier entities that the service is to be provided for
- the frequency of the service
- CWT Version
- recipients of email alerts
- carrier contact information (contact name, phone number)
- output format (CSV, XML)
- method of transport (SFTP, email, SOAP)
- FTP directory (where method of transport is SFTP)

Please note that the CWT Registration system will require the Broker Box Number (BBN) to enable registration; this identifier is held within Xchanging and will be internally supplied within Xchanging.

### **5.5 Timing and Frequency**

The daily CSV file will be produced at the end of the working day and will be available to customers each morning.

The data to support the CWT file will be extracted from CLASS during the hours that CLASS is on-line (i.e. during the hours CLASS is normally available for use). The files to recipients will be generated at intervals when CLASS is on-line.

If there are no events to report to an organisation no file will be provided, i.e. there will not be a blank file provided.

Any end of day processing i.e. to sign transactions and capture of claims loaded by batch after hours will be provided in the first file of the next day.

## 5.6 Output to Recipient

The initial implementation will feature the following in relation to output:

- Via Secure File Transfer Protocol (SFTP) from the recipients standard location for Xchanging file services or via email.
- Standard output will be in CSV file format. Other formats may be or become available via the XDH service
- In the case of the CWT file only, the customer will be able to specify the interval when they register for the service. Customers will be able to select from the following options:
  - Every 1 hour
  - Every 2 hours
  - Every 4 hours
  - Daily

## 5.7 Report Header

Each report header will contain the following:

<b>Identifier</b> – will be set to 'HDR'
<b>Recipient Identification</b> – BBN group of the carrier
<b>Report Name</b> – will be set as in the Report Number section below.
<b>Report Number</b> – will be set to CWTnnn, where nnn is set as one of: 010 – DAILY CSV 020 – STANDARD TRIGGER
<b>Date/Time.</b> This will be set to the date / time the report is generated
Interchange Number
Run date and run time

## 5.8 Report Trailer

Each report trailer will contain the following:

**Trailer Row** –will be set to:

'End of Report – 999 detail lines', where 999 = the number of detail lines present.

## 6 Controls to Detect and Resolve Failed Items

Controls are required to ensure that all events identified in CLASS as defined in this specification are passed to XDH for output. The controls must identify all such failures and define appropriate remedial measures. All known risks must be addressed intraday with the aim of it being reported within the next available file after the one for which it was intended. Exceptional events could arise and in the worst case an error must be detected at the end of the working day in which the event took place.

The process to address these controls will operate as follows.

### 6.1 Extract from CLASS to Staging Area

All events will have a processing status the value of which can be;

- 0 – Unprocessed
- 1 – Being processed
- 2 – Processed
- 3 – Unprocessed (following reset)
- 4 – Being processed (following reset)
- 5 – Processed (following reset)

Upon creation of the reportable event the status is set to 0.

The process periodically sweeps the relevant CLASS tables and identifies all items with a status of “0” or “3”, selects them for processing and advances the status to “1” (from status of “0”) or “4” (from status of “3”). Once the processing area has fully processed the item and if the item still has a status of “1” it will update the status from “1” to “2”; if the item still has a status of “4” it will update the status to “5”.

If on completion, when attempting to update the status to “2” the status is found to be “0”, or when attempting to update the status to “5” the status is found to be “3”, or if the item no longer exists, an error will be generated and reported to operations.

An event with a status of “2” or “5” is then confirmed to be received in full by the staging area.

If an error is detected after the status is set to “1” but before it is set to “2”, or after the status is set to “4” but before it is set to “5”, the staging area load process will set the status back to “0” (from status of “1”) or to “3” (from the status of “4”).

During the CLASS batch process performed after the on-line application is closed for the day, any items set to “1” or “4” is re-set to “3”.

All errors detected throughout the control process will be reported to the support team by e-mail. This means that the support team investigating each one can ensure no items are perpetually failing.



## 6.2 From Staging Area to XDH

There is a Last event\_id associated with each registered organisation (BBN group). The last event Id is only incremented when an item is successfully transferred to the area from which XDH collects the files.

Each event would select all items that have not been assigned a Last event\_id

## 6.3 XDH Processing

The controls relating to XDH processing are those existing controls used by XDH and are not defined in this document.

## 6.4 Reconciliation of Outputs

The auditing and reporting requirements for reconciliation of outputs between CLASS system and Staging Area will be met by an end of day report. This will be generated after business hours by comparing figures retrieved from both the mainframe DB2 run-logging table and the Oracle Database. It will be sent to application support via email or placed at a pre-defined location.

This report will show the following:

- Date.
- First\_Event\_ID processed for that day from CLASS.
- Last\_Event\_ID processes for that day from CLASS.
- Total No. of events process for that day from CLASS.
- First\_Event\_ID processed for that day from Staging Area.
- Last\_Event\_ID processed for that day from Staging Area.
- Total No. of events processed for that day from Staging Area.

## 7 Regression in Status

### 7.1 CLASS Purge Process

For ILU and LIRMA claims, if a claim transaction has been awaiting action for 90 days, the broker is alerted each day that the claim requires action. Once the claim has been awaiting action for 120 days, the status of the claim is changed to 'purged'. The result of this action is that the transaction is moved from the lead's awaiting action list to the broker's awaiting action list. The reason for this is that the likely reason for the lead's non-response is that they are awaiting the file from the broker, so the transfer to the broker's awaiting action list is to prompt the broker to provide the file. Either the broker or the lead can release the claim again by re-releasing it via CLASS.

In this case at the time of the purge a "reset" event will be generated to notify CWT recipients of the change in status of the claim. If the transaction is eventually re-released by the leader or the broker a further event is generated accordingly.

### 7.2 Deletion of Transaction

In the case of LIRMA claims a transaction may be deleted by the broker prior to circulation by the leader. In the case of Lloyd's and ILU the transaction may be deleted at any time prior to it having been fully completed. Any such deletion will give rise to a "reset" event to notify recipients that the transaction no longer requires their action.

### 7.3 Save in Error

In the case of LIRMA claims a transaction may be amended by the broker prior to circulation by the leader. In the case of Lloyd's and ILU the transaction may be amended by the broker at any time prior to it having been fully completed. When making any change to the transaction the item will generate a reset event to notify recipients that the transaction can no longer be actioned by them.

## 8 Document Control

### 8.1 Document Information

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<b>Programme Manager:</b>	Stuart Pembroly

### 8.2 Revision History

Date	Version	Author	Description
19/10/2009	0.1	Martin Lancaster	Initial Draft
22/10/2009	0.2	Martin Lancaster	Updated with internal and market feedback
27/10/2009	0.3	Martin Lancaster	Updated with market comments
30/10/2009	0.4	Martin Lancaster	Updated with comments re Segmentation field
30/10/2009	0.5	Martin Lancaster	Updated with market comments
09/11/2009	1.0	Martin Lancaster	Update to final version
12/11/2009	1.1	Alicia Scott	Update to final version
15/01/2010	1.2	Alicia Scott	Inclusion of Triage Category field on hover and transaction details screens for CTP functionality
01/02/2010	1.3	Alicia Scott	Various updates
11/02/2010	1.4	Alicia Scott	Increased specification on Loss Date (from) and Loss Date (to) values to cater for partial date

31/03/2010	1.5	Alicia Scott	Updated with clarifications from MAT
26/04/2010	1.6	Alicia Scott	Updated with clarifications from MAT
10/05/2010	1.7	Alicia Scott	Updated with review comments
25/05/2010	1.8	Alicia Scott	Updated with final review comments
06/09/10	1.9	Linda Potts	Removed statement that items that are Deleted, Purged or in Error will not be advised if the item has not been previously advised.
30/9/10	2.0	John Ticehurst	Clarification of impact of backload, handling of events in close succession and definition of "reset" event.
7/10/10	2.1	John Ticehurst	Formatting & wording changes
7/10/10	(3.0 Final)	Mandy Seabrook	Initial release marked as FINAL
15/10/10	2.2	Mandy Seabrook	All previous tracked changes accepted.  CWT file – 6 hourly replaced by Daily
25/10/10	2.3	Mandy Seabrook	Changed User ID within the Output File Data Mapping table to be Conditional
25/10/10	3.1	Mandy Seabrook	Changed accepted and marked as FINAL
22/02/11	3.2	Jay Mehta	Appendix 1: Removed redundant reference to CORE001. Minor corrections for fields IUA loss codes & Date/Time added
03/03/11	3.3	Mandy Seabrook	Final after market review

15/04/11	3.4	Jay Mehta	Clarity on which fields will be reported synchronously for each CWT event. Valid values clearly described for some fields on the output data file. Purged (Status 8) added to list of statuses reported.
27/07/11	3.5	Jay Mehta	Changed Transaction Status within the Output File Data Mapping table to be Conditional. Specified additional agreement party actions that are currently reported.
21/11/11	3.6	Jay Mehta	Clarification on Transaction Status for Delete and Reset events. 15 and 30 minute CWT frequencies no longer available.
29/05/2012	3.7	Jonathan Clapham	Change to Appendix 1 Note 3 – to cover the XCS Defer Response
31/07/2017	3.8	George Cruickshanks	Change to Appendix 1 to add 5 additional fields and section 3.1.5 describing PbS created events for PbS R1.2 December 2017 release
2/11/2017	3.9	David Smith	Changes for ECF Binders project Addition of section 3.1.6 Addition of section 3.1.7 Addition of section 3.1.8 Addition of new fields in Appendix 1 Addition of new statuses in Appendix 1 Addition of Appendix 2
25/01/2018	3.10	David Smith	Removal of specified Sub-Classification values for CR44

			Addition of new role of Coordinated Lead for CR45.  Removal of Section 3.1.8
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## APPENDIX 1: Output Definition

The following table set out the data to be output for the Notify services i.e. the CWT file and the New daily CSV file. The fields “Lloyd’s csv” and “Coy csv” are provided for comparison to indicate whether this data is provided in the existing csv files. “M/O/C” indicates if the data item is mandatory, optional or conditional on the output file. The field “Synchronous” indicates which data items will be updated with each event reported for CWT or CWS. For all other items, if more than one event occurs on the same transaction within a very short period of time, the data content will be that of the final event in the group.

Where the data is to be provided in the extract for CWS this is denoted in the CWS column.

Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
Event reference number	The reference that uniquely identifies the event	Y	N	Y	N	N	CHAR	9		M	Y
Bureau	The bureau that the recipient syndicate or company code exists in.	Y	Y	Y	N	N	CHAR	2	SY = Lloyd's IL = ILU LR = LIRMA	M	Y
UCR	The reference created by the broker who creates the first transaction on this claim. Prefixed by the originating broker number	Y	Y	Y	Y	Y	CHAR	17		M	Y
Transaction Reference	The reference issued by the broker originating the transaction. Must be unique within the UCR. Prefixed by the broker number of the broker creating this transaction	Y	Y	Y	Y	Y	CHAR	17		M	Y
Log file	Which log file the data has come from	N	N	Y	N	N	CHAR	4		M	N
Action Participant Type	Code identifying whether the organisation taking the current action is a broker or a carrier	Y	N	Y	N	N	CHAR	1	B = Broker C = Carrier X = System	M	Y
Action Participant	Code identifying syndicate or company or broker on the claim market who takes the action	Y	N	Y	N	N	CHAR	6	Carrier/broker code or 'SYSTEM' when Action Participant Type = X	M	Y
Action Datetime	Date/time action occurred (transaction created or updated or response made)	Y	N	Y	N	N	CHAR	26		M	Y



Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
Date Added	Date transaction was created or updated by the broker (Not the date the claim was created)	Y	Y	Y	Y	Y	CHAR	10		M	N
Time added	Time which transaction was created or updated by the broker	Y	Y	Y	Y	Y	CHAR	8		M	N
Company/Syndicate Identification	Code identifying syndicate or company on the claim market who is the recipient of this data.	Y	Y	Y	Y	Y	CHAR	6		M	N
Claim Line Number	Claim line number in CLASS (needed for non-uniqueness of Company/Syndicate participation)	Y	N	Y	N	N	INTEG			M	N
Action Type Qual	Type of action derived from underlying codes	N	N	Y	N	N	CHAR	3	001 = Add 002 = Update 003 = Delete	M	Y
Action Type Sub Type	Type of action derived from underlying codes	N	N	Y	N	N	CHAR	3		M	Y
Action Type Response	Type of action derived from underlying codes	N	N	Y	N	N	CHAR	3		M	Y
Action Code	The action taken that has given rise to this event (Addition, Reset, Update, Deletion or Response)	Y	N	Y	N	N	CHAR	1	A = Create U = Update D = Delete R = Response E = Reset	M	Y
Response Code	When the action taken, the nature of that response	Y	N	Y	N	N	CHAR	15	See Note 3	C	Y
Unique Market Reference	The reference issued by the broker that placed the risk. Prefixed by the originating broker number	Y	Y	Y	Y	Y	CHAR	17		M	N
Transaction Status	Identifies the status of the transaction.	Y	N	Y	N	N	CHAR	2	See note 1	C	Y
Transaction Type	Identifies whether the transaction is a settlement (S) or advice (A) transaction.	Y	Y	Y	Y	Y	CHAR	3		M	N

Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
ECF Indicator	Indicates whether the claim is supported by an electronic claim file, a paper file or in transition from paper to electronic.	Y	Y	Y	N	Y	CHAR	1	Y = electronic claim file N = paper file T = in transition	M	N
Company/Syndicate Signed Line %	The syndicate or companies percentage share of the claim.	Y	Y	Y	N	Y	DECML	10	Percentage	M	N
Carrier Reference 1	Syndicate or company's risk reference.	Y	Y	Y	Y	Y	CHAR	15		M	N
Carrier Reference 2	Syndicate or company's risk reference.	Y	N	Y	N	N	CHAR	15		O	N
Role	Carrier role of the carrier who is the recipient of this file.	Y	Y	Y	Y	Y	CHAR	15	Lead, Coordinated Lead, Suppressed Lead, Agreement Party or Follower	M	N
Outstanding Indemnity 1	Amount of outstanding loss, in original currency.	Y	Y	Y	Y	Y	DECML	15		M	N
Previously Paid 1	Total of paid amounts on previous transactions, in original currency. This is the 100% amount	Y	Y	Y	Y	Y	DECML	15		C	N
Incurred 1	Latest incurred claim estimate, in original currency. This is the 100% of order	Y	Y	Y	Y	Y	DECML	15		M	N
Settlement 1	100% Amount to be paid in total for this transaction, in original currency.	Y	Y	Y	Y	Y	DECML	15		C	N
Original Currency 1	Original Currency Code (ISO codes used) on the claim	Y	Y	Y	Y	Y	CHAR	3	ISO Ccy Code	M	N
Rate Of Exchange 1	The prevailing rate of exchange for this currency. To be used to when allocating work based upon the size of the claim	Y	Y	Y	Y	Y	DECML	12		C	N

Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
Outstanding Qualifier 1	The broker may select a qualifier to more fully define the outstanding position of the claim(e.g subrogation)	Y	N	Y	N	N	CHAR	1	C = closed D = See loss details F = Fees expected L = Part of block claim N = Nil P = Precautionary R = Recovery expected S = Subrogation expected T = to be advised V = Salvage expected	O	N
Outstanding Indemnity 2	Amount of outstanding loss, in original currency.	Y	Y	Y	Y	Y	DECML	15		C	N
Previously Paid 2	Total of paid amounts on previous transactions, in original currency. This is the 100% amount	Y	Y	Y	Y	Y	DECML	15		C	N
Incurred 2	Latest incurred claim estimate, in original currency. This is the 100% of order	Y	Y	Y	Y	Y	DECML	15		C	N
Settlement 2	100% Amount to be paid in total for this transaction, in original currency.	Y	Y	Y	Y	Y	DECML	15		C	N
Original Currency 2	Original Currency Code (ISO codes used) on the claim	Y	Y	Y	Y	Y	CHAR	3	ISO Ccy Code	C	N
Rate Of Exchange 2	The prevailing rate of exchange for this currency. To be used to when allocating work based upon the size of the claim	Y	Y	Y	Y	Y	DECML	12		C	N
Outstanding Qualifier 2	The broker may select a qualifier to more fully define the outstanding position of the claim (e.g. subrogation)	Y	N	Y	N	N	CHAR	1	C,D,F,L,N,P,R,S,T,V – mappings as per	O	N

Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
									Outstanding Qualifier 1		
Outstanding Indemnity 3	Amount of outstanding loss, in original currency.	Y	Y	Y	Y	Y	DECML	15		C	N
Previously Paid 3	Total of paid amounts on previous transactions, in original currency. This is the 100% amount	Y	Y	Y	Y	Y	DECML	15		C	N
Incurred 3	Latest incurred claim estimate, in original currency. This is the 100% of order"	Y	Y	Y	Y	Y	DECML	15		C	N
Settlement 3	100% Amount to be paid in total for this transaction, in original currency.	Y	Y	Y	Y	Y	DECML	15		C	N
Original Currency 3	Original Currency Code (ISO codes used) on the claim	Y	Y	Y	Y	Y	CHAR	3	ISO Ccy Code	C	N
Rate Of Exchange 3	The prevailing rate of exchange for this currency. To be used to when allocating work based upon the size of the claim	Y	Y	Y	Y	Y	DECML	12		C	N
Outstanding Qualifier 3	The broker may select a qualifier to more fully define the outstanding position of the claim (e.g. subrogation)	Y	N	Y	N	N	CHAR	1	C,D,F,L,N,P,R,S,T,V – mappings as per Outstanding Qualifier 1	O	N
Risk Code (Lloyd's only)	A code allocated to the risk at the time of placement to provide an indication as to the type of business underwritten.	Y	Y	Y	Y		CHAR	2	Any value according to Risk code reference table	C	N
Lloyd's Cat Code	A catastrophe code allocated by Lloyd's Claims office to a loss event that is expected to give rise to losses in excess of an agreed amount.	Y	Y	Y	Y	Y	CHAR	4		O	N
PCS Code	A catastrophe code allocated by Property Claims Services to certain North American loss events that are expected to	Y	Y	Y	Y	Y	CHAR	4		O	N

Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
	give rise to losses in excess of an agreed amount.										
Loss Date (from)	Either the date of loss or the first date of a period of loss	Y	Y	Y	Y	Y	CHAR	10	See note 5	O	N
Loss Date (to)	Either the date of loss or the first date of a period of loss	Y	N	Y	N	N	DATE	10	See note 5	O	N
Claims ref 1	Carrier Reference allocated by Agreement party.	Y	Y	Y	Y	Y	CHAR	15		O	N
Claims ref 2	Carrier Reference allocated by Agreement party. (Blank on first advice)	Y	Y	Y	Y	Y	CHAR	15		O	N
Year of Account (Lloyd's only)	The year of account to which the risk has been assigned	Y	Y	Y	Y	Y	INTEG	4		C	N
Insured	The policyholder name for direct business.	Y	Y	Y	Y	Y	CHAR	50		C	N
Reinsured	The policyholder name reinsurance business.	Y	Y	Y	Y	Y	CHAR	50		C	N
Loss Name	The name given to a loss / event that has given rise to this claim	Y	Y	Y	Y	Y	CHAR	20		O	N
User ID	The User ID of the previous claim handler for the organisation that is the recipient of this data	Y	Y	Y	Y	Y	CHAR	8		C	N
Slip lead	The syndicate or company that is the slip lead for the contract	Y	N	Y	N	N	CHAR	20	Name or code	O	N
Broker Identification	Code identifying the broker organisation that created this transaction	Y	N	Y	N	N	CHAR	4	Number	M	N
Broker Contact	Broker contact name	Y	N	Y	N	N	CHAR	15		O	N
IUA Loss Code (also known as Business Class)	Codes added by bureau leader usually at first advice to define the business type that the claim relates to. May be blank	Y	N	Y	N	N	CHAR	2	See note 4	O	N

Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
	when first transaction created by broker										
Bureau Lead (Lloyd's)	The syndicate that is the lead for this bureau (may be the same as slip lead)	Y	N	Y	N	N	CHAR	6		C	N
Second Agreement Party (Lloyd's)	The syndicate that is the 2nd agreement party for this bureau	Y	N	Y	N	N	CHAR	6		C	N
Bureau Lead (ILU)	The company that is the lead for this bureau (may be the same as slip lead)	Y	N	Y	N	N	CHAR	6		C	N
Second agreement party (ILU)	The company that is the 2nd agreement party for this bureau	Y	N	Y	N	N	CHAR	6		C	N
Bureau Lead (LIRMA)	The company that is the lead for this bureau (may be the same as slip lead)	Y	N	Y	N	N	CHAR	6		C	N
Claims category	The LIRMA code applied to identify the business category of the claim	Y	N	Y	N	N	CHAR	1		C	N
Sequence number	Sequence number of each transaction within the claim	Y	N	Y	N	N	CHAR	3		M	N
Triage Category	The segmentation category into which the claim falls	Y	N	Y	N	N	CHAR	15	2006 scheme: "Standard", "Complex", "Not specified" 2010 scheme: "CTP-Standard", "CTP-Complex", "CTP-Mid-Tranche"	O	Y
Query Id	Unique Query ID	Y	N	Y	N	N	CHAR	32		O	Y
Transaction Status Code	Transaction status code(100/200) reflecting a PbS event	Y	N	Y	N	N	CHAR	3		O	Y
Transaction Status Description	Transaction status description providing a description of the	Y	N	Y	N	N	CHAR	50		O	Y

Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
	PbS event that has occurred. This will be either:  'Query raised with Broker, now answered' or  'Query raised with Carrier by Central Services'										
Query URL	HTTP link to the PbS Query item within the PbS Query Online Portal	Y	N	Y	N	N	CHAR	350		O	Y
Issue Description 1	This field provides details about the issue raised like "INCORRECT CLAIM CURRENCY SUBMITTED" OR "DUPLICATE CLAIM ADVICE SUBMITTED". The field will hold the first issue description as there would be more than one issue under a query.	Y	N	Y	N	N	CHAR	350		O	Y
Issue Description 2	This field provides details about the issue raised like "INCORRECT CLAIM CURRENCY SUBMITTED" OR "DUPLICATE CLAIM ADVICE SUBMITTED". The field will hold the second issue description (if available) as there would be more than one issue under a query.	Y	N	Y	N	N	CHAR	350		O	Y
Issue Description 3	This field provides details about the issue raised like "INCORRECT CLAIM CURRENCY SUBMITTED" OR "DUPLICATE CLAIM ADVICE SUBMITTED". The field will hold the third issue description (if available) as there would be more than one issue under a query.	Y	N	Y	N	N	CHAR	350		O	Y
Classification	To identify the claim as a Claim Bordereau, Individual Outside Authority Claim or a Loss Fund	Y	N	Y	N	N	Char	1	I – Individual, B – Bordereau L – Loss Fund	O	N
Sub-Classification	Binding Authority Claim Sub Classifications	Y	N	Y	N	N	Char	3	See Appendix 3	O	N

Output											
Data Item	Description	CWT	New daily csv	CWS file	Lloyd's csv?	Coy csv?	Data Type	Size	Valid Values	M/O/C	Synchronous
Grouped Indicator	To identify that the UCR belongs to either a Co-Lead / Master Cover or a Master / Subordinate group	Y	N	Y	N	N	Char	1	Y – Is part of a Co-Lead / Master Cover or a Master / Subordinate group  N - Is not part of a Co-Lead / Master Cover or Master / Subordinate group	O	N
Linked Master UCR	Details the UCR of the Master UCR in a Master Cover or Master Subordinate group, only output for Subordinate UCR's	Y	N	Y	N	N	Char	17		O	N

### NOTE 1

The Transaction Status values that could be provided in this output are as follows:

Status	Description	Short Description
8	Purged	PURGED
10	Awaiting Action/Queried (Queried is just for Lloyds)	AWAITING/QUERIED
12	Pended/Rejected by a Lead (ILU)	PENDED/ REJECTED
14	Part Authorised - authorised by the lead only (Lloyds only)	PART-AUT
15	Part Authorised - authorised by the lead and XCS (Lloyds and ILU)	PART-AUT
16	Conditionally Queried	QUERIED
17	Conditionally Authorised	AUTHORS
20	Circulated (Only LIRMA)	CIRCLED
24	Awaiting Reinstatement (fully authorised) – ILU only	RIP REQD
25	Awaiting Reinstatement on previous transaction (fully authorised) – ILU only	RIP PREV
26	Awaiting CPA Release – ILU only	HELD CPA



Status	Description	Short Description
27	Awaiting CPA Release on previous transaction – ILU only	HELD-CPA
30	Fully Authorised – Awaiting Signing (ILU)	AUTHORS
31	Fully Authorised Lloyds advising transaction – Awaiting processing by Xchanging technician	ADV BDWN
32	Fully Authorised Lloyds settlement transaction – Awaiting processing by Xchanging technician	SET BDWN
33	Fully Authorised – Breakdown Incomplete (Lloyds)	PROCESS
36	Fully Authorised – Breakdown Complete (Lloyds)	RELEASED
40	Fully Authorised and Signed/Complete	COMPLETE
45	Cancelled (LIRMA only)	CANCEL'D
12	Rejected (LIRMA only)	REJ

Transaction Status may not be supplied on Delete or Reset events or may be less than 9.

#### **NOTE 2 – PbS Transaction Status Values**

The transaction status values that could be provided in this output are as follows:

Status	Description
100	'Query raised with Broker, now answered '
200	'Query raised with Carrier by Central Services'

#### **NOTE 3 – Multi currency risks**

When the risk is a multi currency risk when premium is received in a selection of specified currencies, claims may be received in those same currencies and a formula defines the way in which they are all applied to the same retentions and limits. CLASS currently restricts the claim to three such combinations although in reality more than three are permitted.

#### **NOTE 4 - Response codes for ILU, LIRMA and LLOYDS**

The following table is a table of Response codes that may appear in the file;

RESPONSE CODES	Comments
Seen / Action	Lloyd's
Agree Pay	Lloyd's
Query Return	Lloyd's

CIR	LIRMA lead response
REJ	LIRMA lead response
CAN	LIRMA lead response
CAA	LIRMA
INF	LIRMA
FIL	LIRMA
DIS	LIRMA
ACC	LIRMA
No	LIRMA
Yes	LIRMA (applies when response is Yes or CES)
MAN	LIRMA (applies when lead changes automated Yes response to a different response)
AUT	ILU
PEN	ILU

Please note an XCS Defer Response will have a blank Response Code value

**NOTE 5** – Business Class (IUA Loss Codes)

The following values will appear in the Business Class (IUA Loss Codes) Field

Bureau	Business Class	Claim Business Classes
LIRMA	NM	NON,MARINE DIRECT FACULTATIVE INSURANCE
LIRMA	RI	NON MARINE FACULTATIVE REINSURANCE
LIRMA	BA	BINDING AUTHORITY
LIRMA	XL	NON MARINE EXCESS OF LOSS
LIRMA/ILU	AX	AVIATION EXCESS OF LOSS
LIRMA	MX	MARINE EXCESS OF LOSS
ILU	AH	AVIATION HULL
ILU	MH	MARINE HULL
ILU	AL	AVIATION LIABILITY
ILU	ML	MARINE LIABILITY
ILU	MC	MARINE CARGO

ILU	ME	MARINE ENERGY
ILU	MP	Marine pollution

**NOTE 6** –Loss Date (from) and Loss Date (to) field values

To cater for the entry of partial dates, the Loss Date (from) field is a character field. If a full date value is entered into Loss Date (from) field, this will need to be in DDMMYYYY format, but the field could contain only a partial date value. Partial dates will not be converted by adding 01's to the beginning, as this would change the meaning of the partial date supplied. For example, where the Loss Date (from) supplied is '012009', means that the loss occurred during the month of January 2009; adding 01 at the beginning to obtain 01012009 means that the loss occurred on January 1<sup>st</sup> 2009.

If the Loss Date (from) date is not supplied, this field will be set to '1900/01/01' as a default in the database and the field in the feed will be populated with spaces.

The value in the Loss Date (to) field is dependent upon the value supplied in the Loss Date (from) field. If Loss Date (to) is supplied, Loss Date (from) must be present (if not entered, defaults to '1900/01/01' in the database and set with spaces in the feed, as above).

If the Loss Date (to) field is not supplied, the value of this field will default to '1900/01/01' in the database, as with Loss Date (from), and the field in the feed will be populated with spaces.

Possible values of the Loss Date (from) field and corresponding values in the Loss Date (to) field are:

Loss Date (from)	Loss Date (to)	Description
15012010	13022010	Loss occurred between 15 <sup>th</sup> Jan and 13 <sup>th</sup> Feb
16012010		Loss occurred on 16 <sup>th</sup> Jan
		No Date of Loss Supplied (broker will have specified a qualifier – e.g. V (Various), T (TBC), etc.)
012010		Loss occurred during January 2010
2009		Loss occurred during 2009

## APPENDIX 2 – CWS XML schema

<!-- Version Control

04-Feb-2010

Triage\_Category Added

23-Feb-2010

Changed date/datetime fields to string type. Version 1.7

30-March-2010

field inclusion as per SIR# 211733

05-May-2010

Inclusion of header tag

15-Dec-2010

Inclusion of the ParticipantsDetails tag (Version 1.8 Added)

10-Jan-2011

Removed ParticipantsDetails tag (Version 1.9 Added)

11-Jan-2011

Inclusion of Claim Line Number in Participants tag (Version 2.0 Added)

18/05/2017 : CWT xsd schema changes as part of CSRP project

Seven fields "Query\_Action", "Query\_Url", "Query\_Desc",  
,"QUERY\_PORTAL\_ID", "ISSUE\_DESC\_1", "ISSUE\_DESC\_2", & "ISSUE\_DESC\_3" added.

-->

```
<xsd:schema xmlns:xsd="http://www.w3.org/2001/XMLSchema">
  <xsd:element name="TriggerFile" type="TriggerFileType"/>
  <xsd:complexType name="TriggerFileType">
    <xsd:sequence>
      <xsd:element name="Header" type="HeaderType" minOccurs="1" maxOccurs="1"/>
      <xsd:element name="TriggerRecord" type="TriggerRecordType" minOccurs="1"
maxOccurs="unbounded"/>
    </xsd:sequence>
  </xsd:complexType>

  <xsd:complexType name="HeaderType">
    <xsd:sequence>
      <xsd:element name="Identifier" type="IdentifierType"/>
      <xsd:element name="DataSource" type="xsd:string"/>
      <xsd:element name="MessageID" type="MessageIDType"/>
      <xsd:element name="EventCount" type="EventCountType"/>
      <xsd:element name="RunDateTime" type="xsd:string"/>
    </xsd:sequence>
  </xsd:complexType>

  <xsd:complexType name="TriggerRecordType">
    <xsd:sequence>
      <xsd:element name="Event_Ref_Num" type = "xsd:integer" />
      <xsd:element name="Bureau" type="BureauType"/>
      <xsd:element name="UCR" type="Char17UniqueReferenceStringType"/>
      <xsd:element name="TransactionReference"
type="Char17UniqueReferenceStringType"/>
    </xsd:sequence>
  </xsd:complexType>
</xsd:schema>
```

```
<xsd:element name="LogFile" type="LogFileType"/>
<xsd:element name="ActionParticipantType"
type="ActionParticipationTypeType"/>
<xsd:element name="ActionParticipant" type="Char06PartyIDStringType"/>
<xsd:element name="ActionDatetime" type="xsd:string"/>
<xsd:element name="DateAdded" type="xsd:string"/>
<xsd:element name="TimeAdded" type="xsd:string"/>
<xsd:element name="Company_SyndicateIdentification"
type="Char06PartyIDStringType"/>
<xsd:element name="ClaimLineNumber" type="xsd:positiveInteger"/>
<xsd:element name="ActionTypeQual" type="Char03CodeStringType"/>
<xsd:element name="ActionTypeSubType" type="Char03CodeStringType"/>
<xsd:element name="ActionTypeResponse" type="Char03CodeStringType"/>
<xsd:element name="ActionCode" type="ActionCodeType"/>
<xsd:element name="ResponseCode" type="Char15ReferenceStringType"
minOccurs="0"/>
<xsd:element name="UniqueMarketReference"
type="Char17UniqueReferenceStringType"/>
<xsd:element name="TransactionStatus" type="Char02CodeStringType"/>
<xsd:element name="TransactionType" type="TransactionTypeType"/>
<xsd:element name="ECFIndicator" type="ECFIndicatorType"/>
<xsd:element name="Company_SyndicateSignedLinepct"
type="Company_SyndicateSignedLinepctType"/>
<xsd:element name="CarrierReference1" type="Char15ReferenceStringType"/>
<xsd:element name="CarrierReference2" type="Char15ReferenceStringType"
minOccurs="0"/>
<xsd:element name="Role" type="RoleType"/>
<xsd:element name="Amounts" type="AmountsType" maxOccurs="3"/>
<xsd:element name="RiskCode_LloydsOnly" type="Char02CodeStringType"
minOccurs="0"/>
<xsd:element name="LloydsCatCode" type="Char04CodeStringType"
minOccurs="0"/>
<xsd:element name="PCSCode" type="Char04CodeStringType"
minOccurs="0"/>
<xsd:element name="LossDateFrom" type="xsd:string" minOccurs="0"/>
<xsd:element name="LossDateTo" type="xsd:string" minOccurs="0"/>
<xsd:element name="ClaimsRef1" type="Char15ReferenceStringType"
minOccurs="0"/>
<xsd:element name="ClaimsRef2" type="Char15ReferenceStringType"
minOccurs="0"/>
<xsd:element name="YearOfAccount_LloydsOnly" type="YearOfAccountType"
minOccurs="0"/>
<xsd:element name="Insured" type="Char50LongNameStringType"
minOccurs="0"/>
<xsd:element name="Reinsured" type="Char50LongNameStringType"
minOccurs="0"/>
<xsd:element name="LossName" type="Char20ShortNameStringType"
minOccurs="0"/>
<xsd:element name="UserID" type="Char08UserIDStringType"/>
<xsd:element name="SlipLead" type="Char20ShortNameStringType"
minOccurs="0"/>
<xsd:element name="BrokerIdentification" type="Char04CodeStringType"/>
<xsd:element name="BrokerContact" type="Char15ReferenceStringType"
minOccurs="0"/>
<xsd:element name="IUALossCodes" type="Char02CodeStringType"
minOccurs="0"/>
<xsd:element name="MarketParticipant" type="MarketParticipantType"
minOccurs="0" maxOccurs="5"/>
```

```
<xsd:element name="OtherCarrier" type="OtherCarrierType" minOccurs="0"
maxOccurs="150"/>
  <xsd:element name="NumberOfAgreementPartiesAgreed"
type="xsd:positiveInteger" minOccurs="0"/>
  <xsd:element name="NumberOfAgreementPartiesQueried"
type="xsd:positiveInteger" minOccurs="0"/>
  <xsd:element name="TotalNumberOfAgreementParties"
type="xsd:positiveInteger"/>
<!--      elements Bureau leads and second agreement parties included, see revision comment
30-March-2010      -->

  <xsd:element name="BureauLead_Lloyds" type="Char06PartyIDStringType"/>
  <xsd:element name="SecondAgreementParty_Lloyds"
type="Char06PartyIDStringType"/>
  <xsd:element name="BureauLead_ILU" type="Char06PartyIDStringType"/>
  <xsd:element name="SecondAgreementParty_ILU"
type="Char06PartyIDStringType"/>
  <xsd:element name="BureauLead_LIRMA" type="Char06PartyIDStringType"/>

<!--      end of change on 30-March-2010      -->

  <xsd:element name="Claim_Cat" type="Char01CodeStringType" />
  <xsd:element name="Sequence_Num" type="Char03CodeStringType"/>
  <xsd:element name="Triage_Category" type="Char15ReferenceStringType"/>

  <xsd:element name="Participant" type="ParticipantType" minOccurs="1"
maxOccurs="150"/>
  <xsd:element name="Query_Action" type="Char03CodeStringType"
minOccurs="0"/>
  <xsd:element name="Query_Url" type="Char350CodeStringType"
minOccurs="0"/>
  <xsd:element name="Query_Desc" type="Char100CodeStringType"
minOccurs="0"/>
  <xsd:element name="Issue_Desc_1" type="Char1000CodeStringType"
minOccurs="0"/>
  <xsd:element name="Issue_Desc_2" type="Char1000CodeStringType"
minOccurs="0"/>
  <xsd:element name="Issue_Desc_3" type="Char1000CodeStringType"
minOccurs="0"/>
  <xsd:element name="Query_Portal_Id" type="Char20CodeStringType"
minOccurs="0"/>
  <xsd:element name="Classification" type="ClassificationType" minOccurs="0"/>
  <xsd:element name="Sub_Classification" type="SubClassificationType"
minOccurs="0"/>
  <xsd:element name="Grouped_Indicator" type="GroupedIndicatorType"/>
  <xsd:element name="Linked_Master_UCR"
type="Char17UniqueReferenceStringType" minOccurs="0"/>
  <xsd:element name="Co-Lead Indicator " type=" GroupedIndicatorType"
minOccurs="0"/>

</xsd:sequence>
</xsd:complexType>
<xsd:complexType name="AmountsType">
  <xsd:sequence>
    <xsd:element name="Outstanding_Indemnity" type="ClaimAmountType"/>
    <xsd:element name="PreviouslyPaid_OrigCcy_100pctOfOrder"
type="ClaimAmountType" minOccurs="0"/>
  </xsd:sequence>
</xsd:complexType>
</xsd:sequence>
</xsd:complexType>
</xsd:sequence>
```

```

        <xsd:element name="Incurred_OrigCcy_100pctOfOrder"
type="ClaimAmountType"/>
        <xsd:element name="Settlement_OrigCcy" type="ClaimAmountType"
minOccurs="0"/>
        <xsd:element name="OriginalCurrency" type="Char03CodeStringType"/>
        <xsd:element name="RateOfExchange" type="RateOfExchangeType"
minOccurs="0"/>
        <xsd:element name="OutstandingQualifier" type="OutstandingQualifierType"
minOccurs="0"/>
    </xsd:sequence>
</xsd:complexType>
<xsd:complexType name="MarketParticipantType">
    <xsd:sequence>
        <xsd:element name="MarketParticipantIdentification" type="xsd:string"/>
        <xsd:element name="MarketParticipantStatus" type="xsd:string"
minOccurs="0"/>
        <xsd:element name="MarketParticipantResponseDateTime" type="xsd:string"
minOccurs="0"/>
    </xsd:sequence>
    <xsd:attribute name="Market" type="BureauType"/>
    <xsd:attribute name="MarketRole">
        <xsd:simpleType>
            <xsd:restriction base="xsd:NMTOKEN">
                <xsd:enumeration value="Lead"/>
                <xsd:enumeration value="SecondAgreementParty"/>
            </xsd:restriction>
        </xsd:simpleType>
    </xsd:attribute>
</xsd:complexType>
<xsd:complexType name="OtherCarrierType">
    <xsd:sequence>
        <xsd:element name="OtherCarrierIdentification" type="xsd:string"/>
        <xsd:element name="OtherCarrierResponse" type="xsd:string"/>
        <xsd:element name="OtherCarrierResponseDateTime" type="xsd:string"/>
    </xsd:sequence>
</xsd:complexType>

<xsd:simpleType name="Char01CodeStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="1"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char02CodeStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="2"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char03CodeStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="3"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char04CodeStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="4"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char06PartyIDStringType">
    <xsd:restriction base="xsd:string">

```

```
        <xsd:maxLength value="6"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char08UserIDStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="8"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char15ReferenceStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="15"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char17UniqueReferenceStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="17"/>
    </xsd:restriction>
</xsd:simpleType>
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    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="20"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char20CodeStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="20"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char50LongNameStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="50"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char100CodeStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="100"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char350CodeStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="350"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="Char1000CodeStringType">
    <xsd:restriction base="xsd:string">
        <xsd:maxLength value="1000"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="DateType">
    <xsd:restriction base="xsd:date">
        <xsd:minInclusive value="1900-01-01"/>
        <xsd:maxInclusive value="2099-12-31"/>
    </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="DateTimeType">
    <xsd:restriction base="xsd:dateTime">
        <xsd:minInclusive value="1900-01-01T00:00:00.000000"/>
        <xsd:maxInclusive value="2099-12-31T23:59:59.999999"/>
    </xsd:restriction>
</xsd:simpleType>
```



```
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:simpleType name="BureauType">
        <xsd:restriction base="xsd:string">
            <xsd:enumeration value="IL"/>
            <xsd:enumeration value="LR"/>
            <xsd:enumeration value="SY"/>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:simpleType name="LogFileType">
        <xsd:restriction base="xsd:string">
            <xsd:enumeration value="LOGA"/>
            <xsd:enumeration value="RUDA"/>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:simpleType name="ActionParticipationTypeType">
        <xsd:restriction base="xsd:string">
            <xsd:enumeration value="B"/>
            <xsd:enumeration value="C"/>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:simpleType name="ActionCodeType">
        <xsd:restriction base="xsd:string">
            <xsd:enumeration value="A"/>
            <xsd:enumeration value="D"/>
            <xsd:enumeration value="R"/>
            <xsd:enumeration value="U"/>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:simpleType name="TransactionTypeType">
        <xsd:restriction base="xsd:string">
            <xsd:enumeration value="A"/>
            <xsd:enumeration value="S"/>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:simpleType name="ECFIndicatorType">
        <xsd:restriction base="xsd:string">
            <xsd:enumeration value="N"/>
            <xsd:enumeration value="T"/>
            <xsd:enumeration value="Y"/>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:simpleType name="Company_SyndicateSignedLinepctType">
        <xsd:restriction base="xsd:decimal">
            <xsd:minInclusive value="0.0000000"/>
            <xsd:maxInclusive value="100.0000000"/>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:simpleType name="RoleType">
        <xsd:restriction base="xsd:string">
            <xsd:enumeration value="AGREEMENT PARTY"/>
            <xsd:enumeration value="FOLLOWER"/>
            <xsd:enumeration value="LEAD"/>
        </xsd:restriction>
    </xsd:simpleType>

    <xsd:simpleType name="OutstandingQualifierType">
        <xsd:restriction base="xsd:string">
            <xsd:enumeration value=""/>
        </xsd:restriction>
    </xsd:simpleType>
```

```
<xsd:enumeration value="C"/>
<xsd:enumeration value="D"/>
<xsd:enumeration value="F"/>
<xsd:enumeration value="L"/>
<xsd:enumeration value="N"/>
<xsd:enumeration value="P"/>
<xsd:enumeration value="R"/>
<xsd:enumeration value="S"/>
<xsd:enumeration value="T"/>
<xsd:enumeration value="U"/>
<xsd:enumeration value="V"/>
</xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="YearOfAccountType">
  <xsd:restriction base="xsd:gYear">
    <xsd:minInclusive value="1900"/>
    <xsd:maxInclusive value="2099"/>
  </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="ClaimAmountType">
  <xsd:restriction base="xsd:decimal">
    <xsd:minInclusive value="-99999999999999.99"/>
    <xsd:maxInclusive value="99999999999999.99"/>
  </xsd:restriction>
</xsd:simpleType>
<xsd:simpleType name="RateOfExchangeType">
  <xsd:restriction base="xsd:decimal">
    <xsd:minInclusive value="0"/>
    <xsd:maxInclusive value="9999999.99999999"/>
  </xsd:restriction>
</xsd:simpleType>

<xsd:simpleType name="IdentifierType">
  <xsd:restriction base="xsd:string">
    <xsd:pattern value="HDR"/>
  </xsd:restriction>
</xsd:simpleType>

<xsd:simpleType name="MessageIDType">
  <xsd:restriction base="xsd:positiveInteger" />
</xsd:simpleType>
<xsd:simpleType name="EventCountType">
  <xsd:restriction base="xsd:positiveInteger" />
</xsd:simpleType>

<xsd:complexType name="ParticipantType">
  <xsd:sequence>
    <xsd:element name="Role" type="RoleType"/>
    <xsd:element name="CarrierID" type="Char06PartyIDStringType"/>
    <xsd:element name="ClaimLineNumber" type="xsd:positiveInteger"/>
    <xsd:element name="ClaimsRef1" type="Char15ReferenceStringType"/>
    <xsd:element name="ClaimsRef2" type="Char15ReferenceStringType"
minOccurs="0"/>
    <xsd:element name="CarrierReference1" type="Char15ReferenceStringType"/>
    <xsd:element name="CarrierReference2" type="Char15ReferenceStringType"
minOccurs="0"/>
  </xsd:sequence>
</xsd:complexType>
```

```
<xsd:simpleType name="ClassificationType">
  <xsd:restriction base="xsd:string">
    <xsd:enumeration value="B"/>
    <xsd:enumeration value="I"/>
    <xsd:enumeration value="L"/>
  </xsd:restriction>
</xsd:simpleType>

<xsd:simpleType name="SubClassificationType">
  <xsd:restriction base="xsd:string">
    <xsd:enumeration value="CL "/>
    <xsd:enumeration value="CT "/>
    <xsd:enumeration value="CC "/>
    <xsd:enumeration value="CX "/>
    <xsd:enumeration value="DN "/>
    <xsd:enumeration value="EMA"/>
    <xsd:enumeration value="EG "/>
    <xsd:enumeration value="LC "/>
    <xsd:enumeration value="LN "/>
    <xsd:enumeration value="NHA"/>
    <xsd:enumeration value="PD "/>
    <xsd:enumeration value="ROR"/>
    <xsd:enumeration value="SN "/>
    <xsd:enumeration value="CHR"/>
    <xsd:enumeration value="TPA"/>
  </xsd:restriction>
</xsd:simpleType>

<xsd:simpleType name="GroupedIndicatorType">
  <xsd:restriction base="xsd:string">
    <xsd:enumeration value="N"/>
    <xsd:enumeration value="Y"/>
  </xsd:restriction>
</xsd:simpleType>

</xsd:schema>
```

## APPENDIX 3: Binding Authority Sub-Classification Values

Value	Sub-Classification	Description
CL	Cash Loss	Any loss where a cash amount is required by the Coverholder or TPA to pay the claim. The amount may exceed the amount held within the loss fund.
CX	Complex	Any claim that has any complex issues around quantum, coverage, claims handling etc.
EMA	Exceeds Monetary Authority	Any claims that exceeds the Coverholder's or TPA's agreed claims handling limit
LC	Liability Claim	Any claim that is made under a liability policy
NHA	No Handling Authority	The coverholder or TPA has no authority to handle any claims on behalf of the underwriters
SN	Subrogation	Any loss where a full or partial recovery may be made from a legally liable party
CHR	Coverholder	Where a Loss Fund relates to funds provided by Underwriters to a Coverholder
TPA	Third Party Administrator	Where a Loss Fund relates to funds provided by Underwriters to a Third Party Administrator