

**NYS DMV  
Insurance Transactions**

**Trading Partner  
Certification**

**May 17, 2016**

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## 1.0 Introduction

Insurers who do not have a NYS DMV assigned Insurance Company Code (ICC) must first contact ISID at [dmv.sm.iiesmail@dmv.ny.gov](mailto:dmv.sm.iiesmail@dmv.ny.gov) to begin the authorization process. NYS DMV will contact the Insurer to begin the Trading Partner Certification process.

If an authorized and EDI certified Insurer is changing a servicing agent, the Insurer must contact NYS DMV at [dmv.sm.iiesmail@dmv.ny.gov](mailto:dmv.sm.iiesmail@dmv.ny.gov) and provide authorization for the servicing agent to act on the Insurer's behalf. NYS DMV will contact the servicing agent to begin the Trading Partner Certification process.

In addition, NYS DMV requires the following information:

- Organization Name
- Primary Contact Name
- Primary Contact Phone
- EDI Commercial Translator Product Name
- ISA05 Interchange Sender ID Qualifier
- ISA06 Interchange Sender ID
- Your organization's NAIC code
- VAN Mailbox address

## 2.0 Purpose

The purpose of this document is to detail Trading Partner Certification for the NYS DMV's Insurance Information & Enforcement System (IIES). All trading partners (insurance companies and servicing agencies) must complete Trading Partner Certification before DMV will assign an Insurance Company Code (ICC). This assigned code allows participation in the IIES program and the issuance of NYS 2D bar-coded Insurance ID Cards. Trading Partner Certification must also be completed when a servicing agent is being changed or when a change occurs to the trading partner source data or commercial translator. Any proposed changes to your software or reporting methodology must be shared with NYS DMV so that we can determine if partial or full certification testing should occur.

## 3.0 Objective

Trading Partner Certification is designed to provide a testing framework to easily and effectively verify EDI and NYS DMV Motor Vehicle Liability Insurance Reporting (MVLIR) compliance for the IIES Program. The MVLIR and the MVLIR Implementation Guide are available to assist you in your EDI reporting. The Commissioner Regulation, Part 34, MVLIR defines rules on specific transaction filings and the MVLIR Implementation Guide serves as a technical document on filing EDI. These documents are available on the IIES website: <https://dmv.ny.gov/dmv/insurance-information-and-enforcement-system-iies>

Trading Partner Certification includes the following objectives:

- Reduce or eliminate the number of avoidable errors related to improper EDI and/or NYS DMV MVLIR data formats
- Identify and eliminate communication errors related to network services (VAN service provider and/or servicing agent)
- Maximize the number of matching records an insurer submits during normal IIES production
- Establish points of contact between NYS DMV and the trading partners

## 4.0 Approach

Trading Partner Certification will test both EDI and NYS DMV MVLIR data compliance for insurance companies. Trading Partner Certification will include a subset of business case scenarios representative of most production reporting activities that will demonstrate a trading partner's ability to correctly report to NYS DMV.

The Certification Test will involve both sending files to and receiving files from NYS DMV.

NYS DMV will use the representative scenarios given in the next section for Trading Partner Certification. Once an Insurer has successfully demonstrated the ability to send and respond to the scenarios, the Insurer will be certified. Regular reporting to NYS DMV will begin upon notification from the NYS DMV EDI team.

## 5.0 Trading Partner Scenarios

### 5.1 Certification Steps

Each insurance company will be required to complete the following steps in order to be certified as a production-trading partner with NYS DMV for the IIES Program.

DMV recommends that NYS Plate Number be included when submitting transactions for NBS, XLC, REP and REC transactions. Plate Number is a mandatory requirement on all submissions for Dealer & Transporter registration types. Inclusion of Plate Number also offers a more efficient solution for insurance companies to correct any errors in matching/posting of transactions to records.

<b>IIES Trading Partner Certification in 10 Steps</b>	
1.	Contact NYS DMV via e-mail to indicate readiness to participate in certification testing. (See Section 1.0, page 1)
2.	Receive confirmation from NYS DMV that the request was received and accepted. <ul style="list-style-type: none"><li>• Do NOT send files to NYS DMV until your organization receives confirmation to do so.</li></ul>
3.	Once confirmation is received, submit New Business (NBS) and Cancellation (XLC) transactions within <u>ONE (1) Interchange</u> , i.e. one EDI transmission, to NYS DMV. <ul style="list-style-type: none"><li>• See table on the following page for the exact requirements when submitting NBS and XLC transactions.</li></ul>
4.	Submit a Rescind Electronic Proof (REP) and Rescind Electronic Cancellation (REC).
5.	Receive Functional Acknowledgment 997 confirmation from NYS DMV that the transmission was received.
6.	Receive feedback (e-mail from NYS DMV) regarding transaction data integrity. Resubmit NBS, XLC, REP, REC transactions as necessary.
7.	Once an organization has submitted acceptable NBS/XLC transactions, the organization will receive Mandatory Verification (MVF) transactions from NYS DMV.
8.	Send Functional Acknowledgment 997 transaction for MVF receipt to NYS DMV.
9.	Respond to MVF transaction with a New Business (NBS) and No Insurance (NIS) transaction, as appropriate.

<b>IIES Trading Partner Certification in 10 Steps</b>	
10.	Once a successful response is received, your organization will be considered certified and NYS DMV will send an e-mail confirmation to you. NYS DMV will then select a start date for submission of production EDI data.

## **5.2 Transaction Requirements**

The following table details the scenarios to be used for Trading Partner Certification.

<b>New Business (NBS) Transactions</b>	<p>Insurer must submit:</p> <ul style="list-style-type: none"> <li>• Minimum of ten (10) New Business transactions contained <u>within the same ISA-IEA Interchange</u>.</li> <li>• At least <u>two (2) policies</u> must contain at least <u>one (1) Primary and one (1) Additional Insured</u> for a total of two (2) names.</li> <li>• At least <u>two (2) policies</u> must contain at least <u>two (2) vehicles</u>.</li> </ul>
<b>Cancellation (XLC) Transactions</b>	<p>Insurer must submit:</p> <ul style="list-style-type: none"> <li>• Minimum of two (2) Cancellation transactions contained <u>within the same ISA-IEA Interchange as the NBS transactions</u>.</li> </ul>
<b>Rescind Electronic Proof (REP)</b>	<p>Insurer must submit:</p> <ul style="list-style-type: none"> <li>• One (1) Rescind Electronic Proof (REP) transaction with an Effective Date that matches a previously posted NBS filing.</li> </ul>
<b>Rescind Electronic Cancellation (REC)</b>	<p>Insurer must submit:</p> <ul style="list-style-type: none"> <li>• One (1) Rescind Electronic Cancellation (REC) transaction with an Effective Date that matches a previously posted XLC filing.</li> </ul>
<b>Mandatory Verification (MVF) Receipt</b>	<p>Insurer must receive:</p> <ul style="list-style-type: none"> <li>• Minimum of two (2) Mandatory Verification transactions from NYS DMV containing NYS DMV registrant and vehicle information.</li> </ul>

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<b>Mandatory Verification (MVF) NBS Response</b>	Insurer must submit: <ul style="list-style-type: none"><li>• One (1) New Business (NBS) transaction with a proper Effective Date and NYS DMV Tracking Number.</li></ul>
<b>Mandatory Verification (MVF) NIS Response</b>	Insurer must submit: <ul style="list-style-type: none"><li>• One (1) No Insurance (NIS) transaction with a proper Effective Date and NYS DMV Tracking Number.</li></ul>

## 6.0 Testing Checklist

The following tables serve as a checklist of the primary items each testing scenario will verify. This table is NOT an exhaustive list of all testing items that an Insurer must be able to do in order to participate effectively in the IIES Program. Rather, the table indicates those items that represent the most common errors and which demonstrate an understanding of EDI and NYS DMV MVLIR.

DMV recommends that NYS Plate Number be included when submitting transactions for NBS, XLC, REP and REC transactions. Plate Number is a mandatory requirement on all submissions for Dealer & Transporter registration types. Inclusion of Plate Number also offers a more efficient solution for insurance companies to correct any errors in matching/posting of transactions to records.

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**General Communications**

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1. Correct Interchange Receiver ID Qualifier
2. Correct Interchange Receiver ID
3. Correct Interchange Sender ID Qualifier
4. Correct Interchange Sender ID
5. Request for Functional Acknowledgment indicated in Interchange
6. Insurer's mailbox network profile and translator are set to send Functional Acknowledgment 997 transactions in response to transactions received from NYS DMV
7. Correct Trading Partner profile setup for NYS DMV in EDI translator
8. Correct Network Profile setup in EDI translator
9. Correct Alias Table setup with VAN Service Provider, if needed
10. Correct use of NYS Plate Number. NYS Plate Number is an optional data element used to resolve transaction posting errors. NYS Plate Number is mandatory when reporting Dealer/Transporter registration types.

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**New Business (NBS)**

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1. Correct Hierarchical Loop (HL) generation
  - Correct Hierarchical ID Numbers
  - Correct Parent ID Numbers
  - Correct Hierarchical Level Codes
  - Correct Hierarchical Child Codes
2. Correct Insurer looping
3. Correct Policy looping
4. Correct use of the NBS Effective Date (cannot use Termination Effective Date )

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**New Business (NBS)**

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5. Correct Additional Insured looping
6. Correct Vehicle looping
7. Correct Segment usage:
  - Include all segments required by NYS DMV MVLIR
  - Do NOT send segments not required for NYS DMV MVLIR
8. Correct use of NYS Plate Number (optional for record resolution/mandatory for reporting Dealer/Transporter registration types)

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**Cancellation (XLC)**

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1. All items listed above referencing looping and segmenting for New Business (NBS)
2. Correct use of Termination Effective Date, not Effective Date for NBS
3. Correct use of NYS Plate Number (optional for record resolution/mandatory for reporting Dealer/Transporter registration types)

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**Rescind Electronic Proof (REP)**

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1. All items listed above referencing looping and segmenting
2. Ability to correctly send a Rescind Electronic Proof (REP) Transaction. A REP rescinds or annuls a previously matched and posted New Business (NBS) or Reinstatement (REI) transaction
3. Correct use of the Effective Date for REP
4. Effective Date of REP must match Effective Date and NAIC of previously posted NBS
5. Correct use of NYS Plate Number (optional for record resolution/mandatory for reporting Dealer/Transporter registration types)

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**Rescind Electronic Cancellation (REC)**

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1. All items listed above referencing looping and segmenting
2. Ability to correctly send a Rescind Electronic Cancellation (REC) Transaction. A REC rescinds or annuls a previously matched and posted Cancellation (XLC) transaction
3. Correct use of the Termination Effective Date for REC
4. Effective Date of REC must match Effective Date and NAIC of previously posted XLC
5. Correct use of NYS Plate Number (optional for record resolution/mandatory for reporting Dealer/Transporter registration types)

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**Mandatory Verification (MVF) Receipt**

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1. Ability to correctly receive and translate Mandatory Verification Transactions

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**Mandatory Verification (MVF) Send**

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1. Ability to correctly respond to Mandatory Verification Transactions with a New Business (NBS) Transaction containing a correct Effective Date that reflects the true effective date of the policy or vehicle addition, even if different than the NYS DMV date in question. Insurer must return the NYS DMV Tracking Number.

AND

2. Ability to correctly respond to Mandatory Verification Transactions with a No Insurance (NIS) Transaction containing a correct Effective Date that reflects the date in question sent by NYS DMV in the Effective Date data element. Insurer must return the NYS DMV Tracking Number.