



EAMS Present Term Solution Technical Specifications

Department of Industrial Relations
Electronic Adjudication Management System

DRAFT



**EAMS Application
Development and Maintenance**



Revision History

Date	Version	Description	Author
02/05/10	1.0	Initial Version	CKV Sadishkumar – EAMS IT
02/15/10	1.1	Use Case updates	CKV Sadishkumar – EAMS IT
02/17/10	1.2	Layout updates	CKV Sadishkumar – EAMS IT
02/24/10	1.3	1. Section 3.1 introduction and chart updates 2. Appendix A terminology additions/updates	Susan Gard -- DWC

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Table of Contents

EAMS Present Term Solution Technical Specifications 1

1 Introduction..... 5

 1.1 Purpose..... 6

 1.2 Scope..... 6

 1.3 References..... 6

2 Present-Term Solution 7

 2.1 Present-Term Solution Timeline 7

 2.2 Public Web Access 8

 2.2.1 Overview..... 8

 2.2.2 High Level Public Web Access Requirements 8

 2.3 SFTP Bulk Filing 9

 2.3.1 Overview..... 9

3 SFTP Bulk Filing Requirements and Technical Use Cases 10

 3.1 Present Term Requirements – Must have requirements..... 10

 3.1.1 EAMS Business Use Cases List 11

 3.2 EAMS SFTP Bulk Filing Technical Use Cases..... 13

 3.2.1 Acknowledgement 14

 3.2.2 EAMS Batch Form Process..... 14

 3.2.3 SFTP Transmission 15

 3.2.4 Layout..... 16

 3.2.5 Other Technical Activities 16

 3.3 EAMS Technical Use Cases Mapping 16

 3.4 Submitter SFTP Bulk Filing Technical Use Cases 19

4 XML Layout specifications and Schema definitions 20

 4.1 Payload Layout 21

 4.1.1 SubmitFormsToEAMS Layout..... 23

 4.1.2 EAMSFilingResponse Layout..... 24

 4.1.3 EAMSPacketReceiveResponse Layout 26

 4.1.4 EAMSPacketValidationResponse Layout 27

 4.2 DWCPacket Layout 28

 4.3 Forms Layout 30

Appendix A: Abbreviations/Acronyms 31

Appendix B: EAMS Access Business Requirements List 34

Appendix C: EAMS Access Business Use Case Statements 62

Appendix D: SFTP Forms-ID Mapping 72

Appendix E: SFTP Bulk Filing Forms Specification 73

List of Tables

Table 1: Web Access High Level Requirements 8

Table 3: EAMS Business Use Cases List 13

Table 4: EAMS Technical Use Cases List - Acknowledgement 14

Table 5: EAMS Technical Use Cases List – EAMS Batch Process..... 15

Table 6: EAMS Technical Use Cases List – SFTP Transmission 16

Table 7: EAMS Technical Use Cases List - Layout 16

Table 8: EAMS Technical Use Cases List – Others 16

Table 9: EAMS Business Use Case – Technical Use Case Mapping 19

Table 10: Submitters Technical Use Cases List 19

Table 11: SubmitFormsToEAMS Paylod Layout 24

Table 12: EAMSFilingResponse Layout 26

Table 13: EAMSPacketReceiveResponse Layout..... 26

Table 14: EAMSPacketValidationResponse Layout..... 28

Table 15: DWCPacket Layout..... 29

List of Figures

Figure 1 – Bulk Filing – SFTP Flow Diagram..... 9
Figure 2 – DWCPacket – data encapsulation Diagram 20
Figure 3 – Submitter – EAMS Payload exchange Diagram..... 22

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1 Introduction

The Electronic Adjudication Management System (EAMS) was deployed in August 2008.

The original vision for EAMS was to provide all case parties with electronic access to the system via a logon, which gives parties access to eForms as well as documents in DWC's case file and other case-related information stored in the case management system. Special Project Report (SPR) 3, submitted in June of 2008, included language calling for additional funding for the provision of greater access to the system for external users. This funding was approved in the provisional language of the budget. Toward that end, the Office of the Chief Information Officer (OCIO) required the Department of Industrial Relations (DIR), DWC's parent agency, and DWC to meet six criteria before the funding would be released.

These criteria, along with other relevant information, have been formalized into SPR 3, addendum 1, otherwise known as the EAMS External User Access Project. This project is proceeding according to schedule.

During the process of meeting the OCIO's requirements, the EAMS External User Access Project team recognized that time is a critical factor to user satisfaction in implementation of the EAMS External User Access Project, particularly with respect to the bulk filing capability desired by frequent filers, those who use case management systems and vendors. While these "high volume" users represent approximately 20% of the user base, they file approximately 80% of the documents housed in EAMS.

A very long wait, albeit for a technically sound solution addressing a wide range of problems, will not result in the necessary user satisfaction. Therefore, DIR/DWC's policy is to prioritize its work in a phased manner so that it meets external users' principal needs and minimizes manual processing, while moving toward the goal of full electronic access.

The immediate top priority for the division and for external users is efficient electronic filing with minimal manual intervention, which will alleviate lengthy paper processing times.

To fulfill this goal, DIR/DWC will create a "present term" solution, which will include a new bulk filing mechanism and expanded access to case file information available without a logon. This present-term solution will directly benefit high volume users who are able to immediately take advantage of bulk filing capabilities. The solution will also indirectly benefit other users still filing on paper by reducing the overall volume of paper processed at DWC district offices.

This solution will be implemented as a change request (CR) to the current system and will therefore utilize EAMS maintenance and operations personnel.

1.1 Purpose

The purpose of this document is to provide technical specifications that are required to develop present term solution for both EAMS system and Submitters system.

1.2 Scope

This document scope is limited to identifying requirements, use cases and data streams structure definition. This document does not contain detail design artifacts that will be documented for design and development of present term solution.

1.3 References

The following documents were referenced during the development of this document.

- EAMS Present Term Solution.doc

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2 Present-Term Solution

The present term solution consists of two components:

1. Bulk filing of six priority forms through Secure File Transport Protocol (SFTP), a network methodology standard for securely exchanging encrypted data over the Internet
2. Expanded access to case file information available on the Web without a logon.

Both of these components are based on needs expressed by external users during requirements sessions and through survey responses.

In short, DIR/DWC will create an SFTP site for bulk filing of six priority forms, which were chosen because of their status as “moving documents” and because they are the highest volume forms, which means removing them from the paper queue will yield the best results overall. The forms are:

- Application for adjudication of claim
- Declaration of readiness to proceed (to hearing)
- Declaration of readiness to proceed (to expedited trial)
- Compromise and release
- Stipulations with request for award
- Notice and request for allowance of lien

This bulk filing mechanism will provide improved submission and error response to filers by automating error responses related to data entry and editing errors and moving the error “checking” further forward in the document transmission process.

It is important to note that not all errors can be caught up front because of the nature of the EAMS “batch process.”

To assure later compatibility with case management system upgrades and implementation of additional functionality, XML will be utilized for the data structures in the present term solution.

The second component of the present-term solution is the expansion of case information available on the DWC Web site without a logon. Expansion of this information will allow case participants to search for the minimum information they need to accomplish their work.

2.1 Present-Term Solution Timeline

- | | | |
|---|---------------------------------|-----------------|
| → | Refined requirements: | 1 month |
| → | Technical development: | 3-6 months |
| → | <u>User acceptance testing:</u> | <u>2 months</u> |
| → | Total time to implementation: | 9 months |

2.2 Public Web Access

2.2.1 Overview

The public access Web page will be expanded to provide information vital for case participants to perform their work. Currently, the database employs only one table and returns the following information:

- Injured worker first and last name
- EAMS case number
- Date of injury
- Employer name
- Case status
- Next hearing date

To incorporate new requirements, the database needs to be updated. For example, tables need to be added, the relationships between the tables need to be defined, data extract processes (such as UNIX scripts as well as database views and Oracle PL/SQL) need to be created. Additionally, the public view screens need to be re-designed, which includes screen layout design as well as the coding behind the screens.

2.2.2 High Level Public Web Access Requirements

Number	High Level Requirement (HLR) Description
1	<p>Additional display criteria:</p> <ul style="list-style-type: none"> • Hearing location (venue) • All case participants • Current judge • Case events (need to identify events) • All case status (not all information is available for archived cases) • Body part code • Official address record (will NOT include injured worker address) • Legacy case number • Insurance company name
2	<p>Additional search criteria:</p> <ul style="list-style-type: none"> • Legacy case number (if any) • Insurance company/claims administrator name
3	<p>Use state template for the screen appearance</p>
4	<p>Search result is still limited to 50 records</p>

Table 1: Web Access High Level Requirements

2.3 SFTP Bulk Filing

2.3.1 Overview

The goal of the SFTP bulk filing component is to address the "must have" (MH) requirements identified by external users in recently completed advisory group requirement sessions. Figure 1 below illustrates the SFTP bulk filing mechanism, with new build components boxed in red.

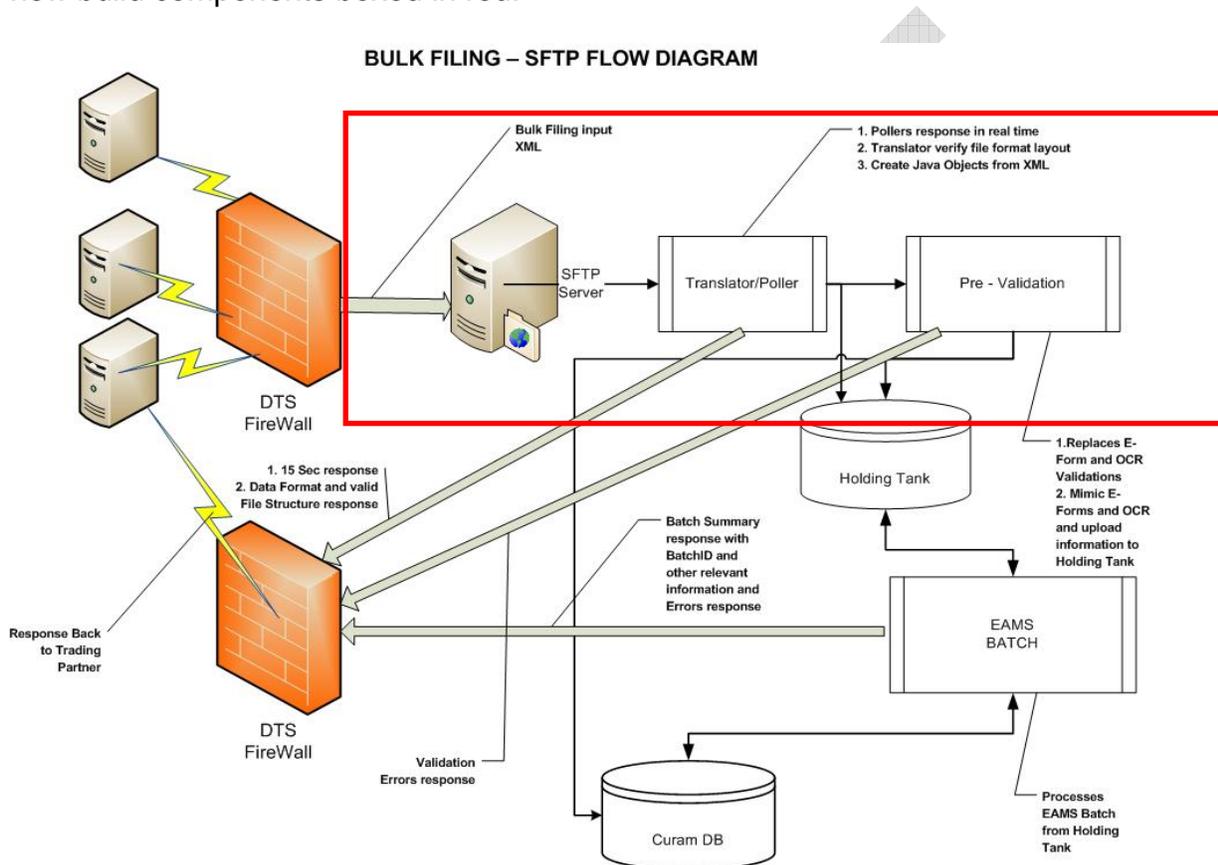


Figure 1 – Bulk Filing – SFTP Flow Diagram

3 SFTP Bulk Filing Requirements and Technical Use Cases

This section lists the sftp bulk filing requirements that were captured during EAMS Access requirements session with submitters. For the present term solution, only a subset of requirements will be implemented from the original EAMS Access requirements list.

Technical use cases are developed based on the must have requirements valid for sftp bulk filing in “present term solution”. Use Cases are categorized in two sets as solution requires adapters to be developed on both EAMS and submitters. First set of use cases are valid for EAMS system and second set of use cases are for submitters who will be using sftp bulk filing adapter to connect to EAMS.

3.1 Present Term Requirements – Must have requirements

Section 3.1 provides the background for the use cases listed in section 3.2.

The following table lists the 21 “must have” (MH) requirements gathered in the original EAMS External User Access project process. The table identifies requirement ownership by DIR, DWC or the Office of Technology Services (OTECH) and whether the requirement is addressed in the present term solution.

[Appendix B](#) lists the full business requirements sessions results for historical context.

Original requirement number	High level requirement (HLR) description	Priority: (MH)	Owner	Requirement addressed in solution
1)	Provide acknowledgement of transmitted submissions and filing status	MH	DIR	YES
3)	Provide notification of planned outages using the system unavailability rule	MH	DWC	YES
4)	Provide a complete summary of all errors contained within the transaction after it has been processed by the EAMS batch interface	MH	DIR	YES
6)	Provide filing capability	MH	DWC/OTECH	YES
7)	Define a single standard for connectivity	MH	OTECH	
10)	Define standards valid for all submissions	MH	DIR/OTECH	YES
10A)	Define industry standard formats to be used for attachments	MH	DIR/DWC	YES

11)	Implement automatic preservation of the original filing date for 15 days (per the rules of administration)	MH	DIR	YES
13)	Provide the capability to support electronic signatures on various incoming documents	MH	DWC/DIR	
14)	Implement the functionality to replace the cover sheet and separator sheet with a data header	MH	DWC/DIR	YES
15)	DWC shall develop and provide to all interested parties a detailed list of all data elements, validations and business rules that will be required for successful filing of each DWC and WCAB form to be filed using the systems contemplated in this project	MH	DWC	YES
16)	DWC publishes and maintains a complete list of edits on a form by form basis (data element rule)	MH	DWC	YES
17)	Form template should be rendered in the same format by the end user and the DWC	MH	DWC	YES
21)	Provide the ability to file additional and amended liens	MH	DWC	
22)	Provide the ability to file documents under seal	MH	DWC/DIR	
24)	Provide a working test environment and minimum standards for external users	MH	OTECH	
26)	Provide the capability to protect transmissions to and from the division	MH	OTECH	
27)	Require security and audit trails for all transactions into DWC	MH	OTECH/DIR	
29)	Facilitate the filing of the unrepresented QME reports to the DEU	MH	DWC	
38)	Define the rules for 3rd party filers concerning the retention of data and documents filed with 3rd party filers	MH	DWC/OTECH	
39)	Provide open solution that is operating system agnostic	MH	OTECH	

3.1.1 EAMS Business Use Cases List

The following table lists all the original use cases gathered for the EAMS External User Access project that are addressed in the present term solution.

[Appendix C](#) lists the full use cases gathered for historical context

Original business Use Case Statement No:	Business Use Case Statement	High Level Requirement No:
2	As an EAMS filer, to be notified if the filing is duplicated	1
3	As an EAMS filer, receive acknowledgements of successful submission and filing so I know quickly when there is a problem.	1
6	As an EAMS filer, data to be validated before, during, and after submissions so that I can quickly know when the filing has errors and problems	1
8	As an EAMS filer, the original submission date to be tracked so I can resubmit if there are validation errors	1
20	Would like to see confirmation both that the document was received and that it was successfully accepted into system. (would prefer real time)	1
22	Get back XML stream or PDF of what case it was , form or document that was received along with when, transaction number, phone number of filer, etc	1
26	Need to determine how to send message of reason for failure if document does not make it into batch and storage system	1
42	Acknowledgements sent when information is submitted and again when it is accepted.	1
58	Ability to uniquely identify each submitted transaction	1
59	For each submitted transaction package, receive an initial acknowledgement of receipt, either Asynchronous or Synchronous.	1
71n	Provide immediate feedback as to the acceptance or rejection of each transaction.	1
71p	All errors for each transaction must be reported back to sender in one response transaction.	1
69g	Confirmation of receipt of the submission and acceptance of same would be highly helpful as well. And confirmation that the submission created the desired workflow for internal users would be helpful as well. (Sometimes we see that our Petition made it	1
71o	Provide a complete summary of all errors contained within the transaction after it has been processed by the EAMS batch interface.	4
71o-a	The EAMS batch process must be enhanced to report all detectable errors for the filing	4
11a, 12b, 40	Define the standards to implement the Data Oriented format	10
12k,30	Define the standards for submitting a common data transaction packet	10

Original business Use Case Statement No:	Business Use Case Statement	High Level Requirement No:
16g	Define the standards to implement a common data transmission methodology	10
71m	Define the criteria to ensure that each transaction is complete	10
15e	Define the standard for single, universal, data stream utilization by all filers for EAMS submission	10
71s	Must support multiple attachments in various industry standard formats including PDF, PDF-A, TIFF, GIFF, etc.	10A
14f	Retain rule 102223 to retain the original filing date for the 15 day period	11
24	Implement the rule that the document date filed is the document "lodged" date	11
14e	Replace cover sheet with transaction (data) header, followed by XML table of data, and any attached PDFs. This is the package or envelope that would be submitted electronically	14
57	Eliminate the "Cover Page" and "Document Separator" for electronic submission.	14
11b	Emulate current business filing rules.	16
71f-a	Authentication and validation that document is error-free or provides error report back to sender	16
71f-b	Authentication and validation that documents are complete and correct	16
15d	Formulate pre-processing business rules to be more extensive than current processing and after initiation of case all docs require it	16
16d	Do not allow filings with errors into the process	16
28	File only things that will be processed without error, e.g. that were preprocessed and validated by submitter	16

Table 2: EAMS Business Use Cases List

3.2 EAMS SFTP Bulk Filing Technical Use Cases

EAMS technical use cases list the set of rules and features that will be the foundation in creating solution for “present term solution” as described in [section 2.1](#) and are applicable to the **primary actor “EAMS”**.

SFTP filing shall be subject to existing EAMS business rules and procedures but may also be subject to additional business rules and procedures as DWC deems necessary.

The following table lists the technical use cases categorized by high level business functions that are applicable to present term solution based on the requirements that are defined in [section 3.1](#).

3.2.1 Acknowledgement

There are three levels of acknowledgement.

Level 1: Submission acknowledgement simply provides submitter with acknowledgment the packet was received.

Level 2: Editing acknowledgement provides notification of successful submission or errors in editing

Level 3: EAMS batch response provides notification of successful acceptance into EAMS or errors between submission and EAMS

Use Case No:	Use Case Statement	Comments
UC-3	Create acknowledgement of receipt of packet within 15 seconds of receiving a bulk filing packet from submitter	Level 1
UC-4	Create acknowledgement details containing whether the packet is accepted successfully for processing or rejected with details including <ul style="list-style-type: none"> • Mandatory fields that are missing • Invalid data types fields • Invalid field length fields • Any XML errors 	Level 2
UC-8	Send a summary of all transactions that are successfully processed from a packet with details including <ul style="list-style-type: none"> ○ Transaction id ○ case number ○ user defined field ○ Time Stamp ○ document type ○ applicant name 	Level 3
UC-16	Notify submitter if a duplicate packet is submitted	Level 1

Table 3: EAMS Technical Use Cases List - Acknowledgement

3.2.2 EAMS Batch Form Process

Use Case No:	Use Case Statement	Comments
UC-6	Retain original date of submission for 15 calendar days in case transaction failed due to validation errors.	

Use Case No:	Use Case Statement	Comments
UC-11	Retain original date of submission for 15 calendar days irrespective of multiple submissions of same transaction to correct errors.	
UC-12	Identify all errors in a packet	Will have sub use cases for each type of form
UC-32	Process each transaction in a packet	
UC-22	Accept transaction with multiple forms and their attachment(s)	
UC-23	Ensure that the document file date is the lodged date.	The lodged date is the date the packet is submitted if there are no errors, or the first date the packet is submitted in the 15 calendar day window
UC-28	Accept only 6 forms identified in the present term solution as valid sftp transactions.	
UC-33	Accept transaction with multiple forms and their attachment(s) based on business sequencing rules.	
UC-34	Accept successful form(s) in a transaction if there are no dependencies between the forms submitted when two or more forms are submitted and there is an error in one or more forms.	
UC-35	Create error response for the failed form(s) in a transaction when one or more forms are submitted in a transaction	
UC-36	Process and identify resubmission of a form in a transaction if the previous submission resulted in an error and the form is re submitted within 15 calendar days of its lodged submission	
UC-40	Process sftp solution forms thru existing business rules routines	

Table 4: EAMS Technical Use Cases List – EAMS Batch Process

3.2.3 SFTP Transmission

Use Case No:	Use Case Statement	Comments
UC-2	Accept successful sftp transmission of a packet from submitter.	
UC-13	Transmit acknowledgement/responses identified for a packet back to submitter	
UC-30	Accept sftp packet from Submitter irrespective of their Operating system thru sftp protocol.	

UC-25	Create notification of outages to submitters.	
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Table 5: EAMS Technical Use Cases List – SFTP Transmission

3.2.4 Layout

Use Case No:	Use Case Statement	Comments
UC-17	Identify each transaction in a packet	Design use case
UC-19	Create Data stream structure using XML standard	Design use case
UC-24	Support attachments of various standard formats including PDF, PDF-A, TIFF, GIFF, etc	Design use case
UC-26	Create DWCPacket structure to receive incoming transactions, transmit summary report, transmit acknowledgement and transmit errors in transaction	Design use case
UC-37	Support multiple transactions in a packet submission	Design use case
UC-38	Support a transaction header data structure identical to cover sheet.	Design use case
UC-39	Support multiple forms in a transaction.	Design use case

Table 6: EAMS Technical Use Cases List - Layout

3.2.5 Other Technical Activities

S No:	Activity Name	Comments
TA-1	Create user accounts for sftp for submitters	
TA-2	Publish error codes and their description	Will be published in a web page.
TA-3	Publish present term solution technical specification for submitters	Will be published in a web page.
TA-4	Create a test environment for Submitter	

Table 7: EAMS Technical Use Cases List – Others

3.3 EAMS Technical Use Cases Mapping

The following table lists the mapping of EAMS technical use cases to the original uses cases that were [captured](#)(Appendix C) during EAMS Access business requirements session. Use cases that will be implemented by EAMS system for the present term solution are derived from the original requirements list from [Appendix B](#).

Original business Use Case Statement No:	Business Use Case Statement	EAMS Technical Use Case Statement No:	High Level Requirement No:
2	As an EAMS filer, to be notified if the filing is duplicated	UC-16	1
3	As an EAMS filer, receive acknowledgements of successful submission and filing so I know quickly when there is a problem.	UC 3, 4, 5	1
6	As an EAMS filer, data to be validated before, during, and after submissions so that I can quickly know when the filing has errors and problems	UC-7, 12	1
8	As an EAMS filer, the original submission date to be tracked so I can resubmit if there are validation errors	UC-6, 11, 23	1
20	Would like to see confirmation both that the document was received and that it was successfully accepted into system. (would prefer real time)	UC-3, 4, 8	1
22	Get back XML stream or PDF of what case it was , form or document that was received along with when, transaction number, phone number of filer, etc	UC-8, 9, 10	1
26	Need to determine how to send message of reason for failure if document does not make it into batch and storage system	UC-5, 9	1
42	Acknowledgements sent when information is submitted and again when it is accepted.	UC 3, 8	1
58	Ability to uniquely identify each submitted transaction	UC-17	1
59	For each submitted transaction package, receive an initial acknowledgement of receipt, either Asynchronous or Synchronous.	UC-3	1
71n	Provide immediate feedback as to the acceptance or rejection of each transaction.	UC-3	1
71p	All errors for each transaction must be reported back to sender in one response transaction.	UC-12, 13	1
69g	Confirmation of receipt of the submission and acceptance of same would be highly helpful as well. And confirmation that the submission created the desired workflow for internal users would be helpful as well. (Sometimes we see that our Petition made it	UC-3, 8, 18	1

Original business Use Case Statement No:	Business Use Case Statement	EAMS Technical Use Case Statement No:	High Level Requirement No:
71o	Provide a complete summary of all errors contained within the transaction after it has been processed by the EAMS batch interface.	UC-13	4
71o-a	The EAMS batch process must be enhanced to report all detectable errors for the filing	UC-13	4
11a, 12b, 40	Define the standards to implement the Data Oriented format	UC-19	10
12k,30	Define the standards for submitting a common data transaction packet	UC-19, 26	10
16g	Define the standards to implement a common data transmission methodology	UC-19, 26, 30	10
71m	Define the criteria to ensure that each transaction is complete	UC15	10
15e	Define the standard for single, universal, data stream utilization by all filers for EAMS submission	UC-19, 26	10
71s	Must support multiple attachments in various industry standard formats including PDF, PDF-A, TIFF, GIFF, etc.	UC-24	10A
14f	Retain rule 10223 to retain the original filing date for the 15 day period	UC-6	11
24	Implement the rule that the document date filed is the document "lodged" date	UC-23	11
3	As an EAMS filer, electronically sign documents to be submitted	UC21,24	13
71q	Capability to support Electronic Signatures on various incoming documents.	UC21,24	13
14e	Replace cover sheet with transaction (data) header, followed by XML table of data, and any attached PDFs. This is the package or envelope that would be submitted electronically	UC-26, 38	14
57	Eliminate the "Cover Page" and "Document Separator" for electronic submission.	UC19,26	14
11b	Emulate current business filing rules.	UC 40	16
71f-a	Authentication and validation that document is error-free or provides error report back to sender	UC12, 13	16

Original business Use Case Statement No:	Business Use Case Statement	EAMS Technical Use Case Statement No:	High Level Requirement No:
71f-b	Authentication and validation that documents are complete and correct	UC-32	16
15d	Formulate pre-processing business rules to be more extensive than current processing and after initiation of case all docs require it	UC5, 7	16
16d	Do not allow filings with errors into the process	UC13	16
28	File only things that will be processed without error, e.g. that were preprocessed and validated by submitter	UC32	16
64c	DWC to provide a working test environment for vendors, DWC to monitor submission failures from each vendor.	TA-4	24
16h-a	Secure data transmission (Security) <ul style="list-style-type: none"> o Filing capability 	UC-25, 30	26

Table 8: EAMS Business Use Case – Technical Use Case Mapping

3.4 Submitter SFTP Bulk Filing Technical Use Cases

Submitter technical use cases list the set of rules and features that will be the foundation in creating solution for submitter in “present term solution” as described in [section 2.1](#)

The following table lists the technical use cases that are applicable to present term solution based on the requirements that are defined in [section 3.1](#).

***** This section will be filled in by Submitters.

Use Case No:	Use Case Statement

Table 9: Submitters Technical Use Cases List

4 XML Layout specifications and Schema definitions

EAMS will use the DWCPacket layout to receive and send all data streams related to electronic filing of forms by the Submitters. The DWCPacket will contain header information and payload information.

The DWCPacket is the master layout that will be used by EAMS and Submitter to send and receive all the information related to data streams for sftp bulk filing as defined in the “present term solution”. The DWCPacket contains a packet header that contains necessary information about the transmitter and payload information. The payload itself will vary based on the layout that will be used.

The figure below describes how the data is encapsulated in DWCPacket:

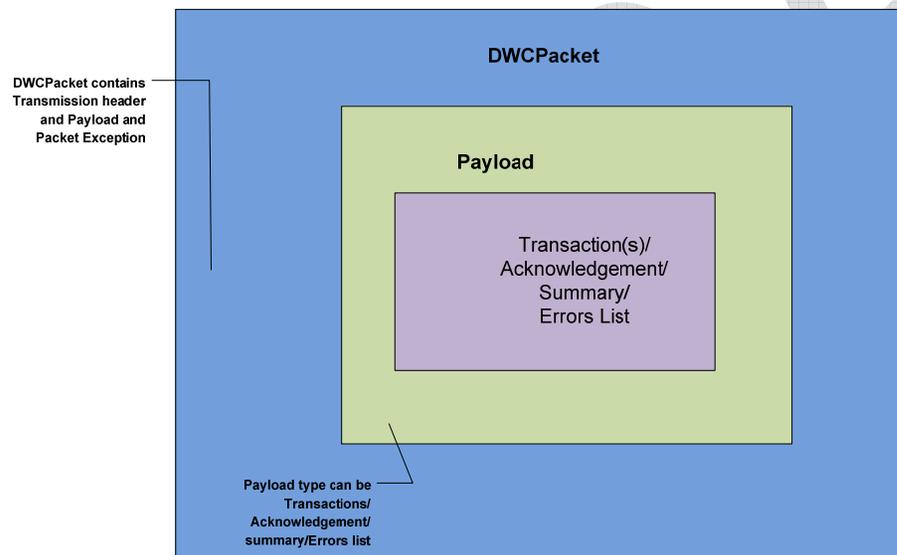


Figure 2 – DWCPacket – data encapsulation Diagram

All EAMS responses will send the original packetid back to the Submitter along with the response payload information. For the immediate acknowledgement response, the packetid will be extracted from the filename that is submitted.

4.1 Payload Layout

The Payload identifies the business payload that will be sent in the DWCPacket. There will be one payload in a single transmission of DWCPacket. The payload will vary based on the type of business request and response either from the Submitter or EAMS. For the present term solution, the following valid business payloads are identified:

- **SubmitFormsToEAMS** – This payload will be used by the Submitter in requesting forms to be processed in EAMS along with their attachments.
- **EAMSFilingResponse** – This payload will be used by EAMS to identify the summary and errors in the transactions submitted and will be sent by EAMS to Submitter.
- **EAMSPacketReceiveResponse** – This payload will be used by EAMS in the initial acknowledgement response, stating that a packet has been received in EAMS. This response will occur within 15 seconds of the packet transmission by the Submitter.
- **EAMSPacketValidationResponse** – This payload will be used by EAMS to response to Submitter will all the validations errors that are identified in packet. Current validations are limited to verifying data fields type and field lengths.
- **EAMSPacketValidationResponse** – This payload will be used by EAMS to respond to Submitter with all the validation errors that are identified in the packet (current validations are limited to verifying data fields type and field lengths), or with “summary” information for a successful transmission.

The following figure describes various business payloads and the sequence of exchange between Submitter and EAMS:

Submitter – EAMS Payload Exchange Diagram

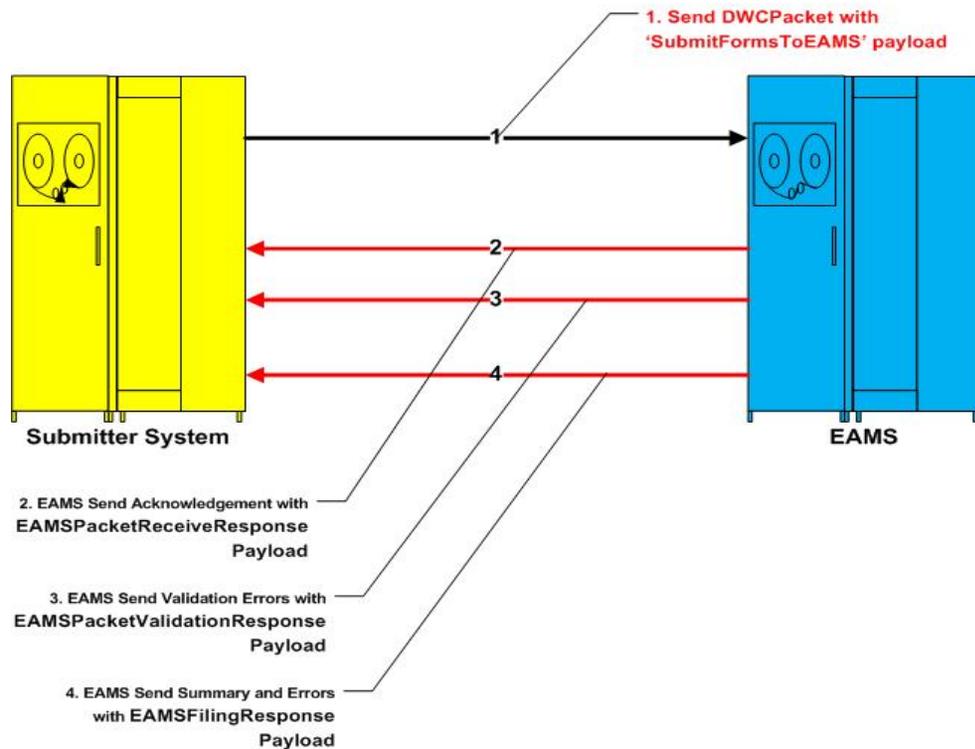


Figure 3 – Submitter – EAMS Payload exchange Diagram

The EAMS sftp bulk filing payload layout includes:

- Layout to receive transaction which contains one form header, form data and supporting attachments.
- Layout to send acknowledgement back to Submitter after successfully receiving a packet from Submitter.
- Layout to send validation errors on a packet back to Submitter.
- Layout to send summary data of all successful transactions and errors that will be useful to Submitter.

4.1.1 SubmitFormsToEAMS Layout

SubmitFormsToEAMS layout will be used by the Submitter to send one or many transactions to EAMS. A transaction is identified as a set of forms that are filed for a case. The type of forms that are filed together for a case will depend on business sequencing rules. The transaction will have a transaction header which will be similar to a “CoverSheet” in the existing system, and one or more forms that will be submitted along with their attachments. There are no restrictions on the number of attachments that can be submitted with a form.

The following layout identifies the groups and fields that will be submitted as a part of SubmitFormsToEAMS service:

Group/Field	Field	Required	Acceptable Values - Bulk Filing	Default Value - Bulk Filing	Comments
SubmitFormsToEAMS.Transactions		Mandatory			FTP is the only protocol
SubmitFormsToEAMS.Transactions.TransactionCount		Mandatory			
SubmitFormsToEAMS.Transactions.Transaction		Mandatory			
SubmitFormsToEAMS.Transactions.Transaction.Header	HeaderVersion	Mandatory	1		
SubmitFormsToEAMS.Transactions.Transaction.Header	TransactionID	Mandatory	Unique Identifier		Naming Convention: XXXX-DATE-YYYY-ZZZZ XXXX-SubmitterCode Date- Date(YYYYMMDD) YYYY- RunningSequenceNumber (1..9999) ZZZZ- RunningSequenceNumber (1...99999)

Group/Field	Field	Required	Acceptable Values - Bulk Filing	Default Value - Bulk Filing	Comments
SubmitFormsToEAMS.Transactions.Transaction.Header.CoverSheet		Mandatory			For fields in coversheet group refer to forms layout of type coversheet
SubmitFormsToEAMS.Transactions.Transaction.Forms		Mandatory			
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form		Mandatory			
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form	FormID	Mandatory			Unique Form type
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.FormData	AnyType field	Mandatory			This maps to the form schema based on the form ID.

Table 10: SubmitFormsToEAMS Payload Layout

4.1.2 EAMSFilingResponse Layout

The EAMSFilingResponse layout will be used by EAMS to send a response containing summary data for successful transactions processed, and an error section detailing the transactions that failed in EAMS batch processing. The failed transactions contain the error codes and error message details. There can be an instance where a transaction will appear on both the summary and error sections. This will happen when more than one form is submitted and not all the forms are successfully processed. For example, two forms submitted out of sequence, as defined by the business rules, will cause this outcome.

The following layout identifies the groups and fields that will be sent back from EAMS as a part of EAMSFilingResponse service:

Group/Field	Field	Required	Acceptable Values - Bulk Filing	Default Value - Bulk Filing	Comments
EAMSFilingResponse.Summary		Mandatory			
EAMSFilingResponse.Summary.Transactions		Mandatory			
EAMSFilingResponse.Summary.Transactions.Transaction	TransactionID	Mandatory			Will be returned from the Original submission
EAMSFilingResponse.Summary.Transactions.Transaction	DateSubmitted	Mandatory			MM-DD-YYYY
EAMSFilingResponse.Summary.Transactions.Transaction.Forms		Mandatory			FTP is the only protocol
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	FormID	Mandatory			Unique Form type
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	FiledDate	Mandatory			MM-DD-YYYY
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	CaseNumber	Optional			
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	ResubmissionIND	Optional	Y,N	N	Resubmission indicator
EAMSFilingResponse.Errors		Optional			
EAMSFilingResponse.Errors.Transactions		Mandatory			One or many transactions
EAMSFilingResponse.Errors.Transactions.Transaction	TransactionID	Mandatory	Unique Identifier		Will be returned from the Original submission
EAMSFilingResponse.Errors.Transactions.Transaction.Forms		Mandatory			
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form		Mandatory			

Group/Field	Field	Required	Acceptable Values - Bulk Filing	Default Value - Bulk Filing	Comments
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form	FormID	Mandatory			Unique Form type
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form.Errors		Mandatory			One or many errors
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form.Errors.Error	ErrorCode	Mandatory			
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form.Errors.Error	ErrorMessage	Mandatory			

Table 11: EAMSFilingResponse Layout

4.1.3 EAMSPacketReceiveResponse Layout

The EAMSPacketReceiveResponse layout will be used by EAMS to send an acknowledgement back to Submitter that a packet is received.

The following layout identifies the groups and fields that will be submitted as part of the EAMSPacketReceiveResponse service:

Group/Field	Field	Required	Acceptable Values - Bulk Filing	Default Value - Bulk Filing	Comments
EAMSPacketReceiveResponse.Acknowledgement	Message	Mandatory			

Table 12: EAMSPacketReceiveResponse Layout

4.1.4 EAMSPacketValidationResponse Layout

The EAMSPacketValidationResponse layout will be used by EAMS to send an acknowledgement back to Submitter that a packet is validated successfully.

The following layout identifies the groups and fields that will be submitted as a part of EAMSPacketValidationResponse service:

Group/Field	Field	Required	Acceptable Values - Bulk Filing	Default Value - Bulk Filing	Comments
EAMSPacketValidationResponse.Acknowledgement	Message	Mandatory			
EAMSPacketValidationResponse.Errors		Optional			
EAMSPacketValidationResponse.Errors.Transactions		Mandatory			One or many transactions
EAMSPacketValidationResponse.Errors.Transactions.Transaction	TransactionID	Mandatory	Unique Identifier		Will be returned from the Original submission
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms		Mandatory			
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form		Mandatory			
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form	FormID	Mandatory			Unique Form type
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form.Errors		Mandatory			One or many errors
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form.Errors.Error	ErrorCode	Mandatory			

EAMSPacketValidationResponse.Errors.Transactions.Transaction. Forms.Form.Errors.Error	ErrorMessage	Mandatory			
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Table 13: EAMSPacketValidationResponse Layout

4.2 DWCPacket Layout

The following table describes the fields in the DWCPacket layout:

Group/Field	Field	Required	Acceptable Values - Bulk Filing	Default Value - Bulk Filing	Comments
DWCPacket.PacketID		Mandatory	Unique Identifier		Naming Convention: XXXX-DATE-YYYY XXXX-SubmitterCode Date-Date(YYYYMMDD) YYYY-RunningSequenceNumber (1..9999)
DWCPacket.Header	HeaderVersion	Mandatory	1		
DWCPacket.Header	TransportProtocol	Mandatory	SFTP		FTP is the only protocol
DWCPacket.Header	PacketType	Mandatory	Request, Reply, Exception		Request - Input Reply - Summary Message Exception - Errors
DWCPacket.Header	ClientUserId	Optional			(SFTP userid that is used for FTP)
DWCPacket.Header	SecurityToken	Optional			
DWCPacket.Header	TestMessage	Optional	TRUE, FALSE	FALSE	Whether to ignore processing
DWCPacket.Header.PayloadInformation	ServiceName	Mandatory			UniqueServiceNames 1.SubmitFormsToEAMS or 2.EAMSFilingResponse
DWCPacket.Header.PayloadInformation	ServiceVersion	Mandatory	1		

Group/Field	Field	Required	Acceptable Values - Bulk Filing	Default Value - Bulk Filing	Comments
DWCPacket.Header.PayloadInformation	PayloadFormat	Mandatory	XML	XML	This maps to the Data Model that will be used for exchange
DWCPacket.Header.PayloadInformation	PayloadSchema	Optional			Schema that will be published (TBD)
DWCPacket.Header.Source	LogicalSystem	Mandatory			Submitters System - company system name
DWCPacket.Header.Source	Environment	Mandatory	DEV, TST, UAT, PROD		
DWCPacket.Header.Source	SoftwareVersionNo	Mandatory			
DWCPacket.Header.Target	LogicalSystem	Mandatory	EAMS		
DWCPacket.Header.Target	Environment	Mandatory	DEV, TST, UAT, PROD		
DWCPacket.Header.Target	Address	Optional			
DWCPacket.Payload	AnyType field	Mandatory	Transactions		Transactions
DWCPacket.Exceptions		Optional			
DWCPacket.Exceptions.Exception	ErrorId	Mandatory	Unique Identifier		
DWCPacket.Exceptions.Exception	ErrorCode	Mandatory	Error Codes		
DWCPacket.Exceptions.Exception	ErrorTimestamp	Mandatory	mm/dd/yy hh:mm:ss.ms		
DWCPacket.Exceptions.Exception	ErrorSeverity	Mandatory	ERROR		
DWCPacket.Exceptions.Exception	ErrorMessage	Mandatory	high level message		message mapping to the code
DWCPacket.Exceptions.Exception	ErrorDetail	Mandatory	Error Lists		List of Errors
DWCPacket.Exceptions.Exception	Application	Optional			
DWCPacket.Exceptions.Exception	Module	Optional			Submitter, Poller, Validator, EAMS Batch
DWCPacket.Exceptions.Exception	ResolutionAdvise	Optional			

Table 14: DWCPacket Layout

4.3 Forms Layout

Refer to SFTP Bulk Filing Forms Specifications in [Appendix E](#).

DRAFT

Appendix A: Abbreviations/Acronyms

<i>Terminology</i>	<i>Description</i>
Artifact	
Bandwidth	The amount of information or data that can be sent over a communications channel in a given period of time. The higher a channel's bandwidth, the more information it can carry.
Batch process	A process that runs within EAMS to move transactions from the holding tank to appropriate databases
Boundary	The separation point between network segments. Boundaries are usually set by devices that control the data, such as routers and gateways.
Bulk filing	The ability to file one or more packets in a single transaction
Carrier sense	The ability of a network device to "listen" to the network to determine if any other devices are trying to transmit data.
Carrier sensing multiple access with collision detection	An Ethernet communication protocol in which devices check the network to see if it is clear before transmitting data.
Collision	A situation in which two or more network devices send data at the same time.
Collision detection	The ability of network nodes to sense when there is a collision. When collisions occur, the nodes simply wait to re-transmit the information
Conditional mandatory	Data that becomes mandatory for a field when data is entered in another designated field. For example: Enter the representatives' UAN, their address fields become mandatory
Data	Information is transmitted or processed digitally. In data transmission, a "1" or "0" represents the most fundamental unit of information in a digital system.
Digital signature	An electronic identifier, created by computer, intended by the party using it to have the same force and effect as the use of a manual signature. (See chapter 10 of title 2, division 7 of Cal. Code of Regs., 2 CCR § 22000, et seq.)
Electronic signature	An electronic sound, symbol, or process, attached to or logically associated with a record and executed or adopted by a person with the intent to sign the record. (This definition is based on section 106 of the federal E-SIGN Act. 15 USCS § 7006)
Error response	The response from DWC to containing errors in transaction
Firewall	A piece of hardware or software that protects a network from unwanted content or unauthorized users.
Form	

<i>Terminology</i>	<i>Description</i>
Form header	Information about things such as last modified date, character encoding, sender name, transaction ID and more
Form trailer	Information about things such as last modified date, character encoding, sender name, transaction ID and more
Header	A data field within a packet that includes the IP addresses of the sender and the receiver
Industry standard	A universally accepted set of guidelines for the operational quality of a device or process
Infrastructure	The physical equipment that makes up the network. The most important part of PLC network infrastructure is the transmission medium
Input/output device	A device connected to the input/output section of a PLC. Inputs are usually sensors while outputs are usually devices that perform a mechanical action
Interface	A hardware device that connects two separate pieces of equipment. RS-232 cable can be used as an interface between computers and printers
Mandatory	Data in a field that must be entered or the document will err out. For example: injured worker's first and last name; claims administrators' UAN
Megabit	One million bits. A bit is a single numerical unit in the binary number system
Message	The instructions contained in a data packet
Moving document	A document that requires action
Multiple access	A type of network access in which each node on the network has the same right to transmit data packets as any other node.
Optional	Data, if known, that is to be entered in a field. The data is captured in EAMS but is not mandatory. For example: SSN
DWCPacket	DWCPacket is the master layout that will be used by EAMS and Submitter to send and receive all the information related to data streams for sftp bulk filing as defined in "present term solution"
Packet header	A data record within a packet that includes the high level information of the bulk filing submitter
Packet trailer	Information such as last modified date, character encoding, sender name, transaction ID and more
Protocol	The standards and rules used by PLCs and other network devices to interact with each other. In many respects, protocols are the language that network devices use to communicate
Router	A network device that determines where information packets should go and sends them to their destination by the shortest, most efficient route.
SFTP	Secure File Transfer Protocol, used for uploads and downloads on the internet, for text and for binary, over TCP/IP.
S signature	Signature of filer on the form in the format of S JOHN

<i>Terminology</i>	<i>Description</i>
	JONES
S signature verification	Verification signed by the person whose S Signature is on the form – the required language to be provided by DWC
Switch	A network hardware device that allows different nodes on the network to communicate with each other. Switches have the ability to selectively forward data packets to a specific destination.
Transaction	One form data and its attachments that will be submitted.
Transaction error	An error in the format of the transaction
Transaction error response	The response from DWC to containing transaction errors
Transaction header	Information such as last modified date, character encoding, sender name, transaction ID and more
Transaction trailer	Information such as last modified date, character encoding, sender name, transaction ID and more
Transmission	Transfer of files across a network
Transmission error	An error on the transmission network
Transmission medium	The means by which data travels through a network. Typically this is some type of cable, although wireless networks are becoming increasingly common
Validation error	Errors found in the initial transaction related to edits, such as field length
Validation error response	Response from DWC to submitter containing all validation errors

Appendix B: EAMS Access Business Requirements List

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
						This column will track the use case statements submitted by the external business partners affirming that all requirements have been addressed.
	<u>Acknowledgements:</u>					
	-					
1)	Provide acknowledgement of transmitted submissions and filing status			MH		2, 4, 6, 8, 9, 12n, 16c, 19, 20, 21, 22, 26, 42, 45, 58, 59, 60, 69g, 71m, 71n, 71p

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.1	Provide a 15 second response time to submitter per filing packet.		71m	Provide immediate (real time) technical edit response to insure that each transaction is complete (contains all required data fields and attachments, if any, and meets XML structural integrity for the form type being submitted).
					71n	Provide immediate feedback as to the acceptance or rejection of each transaction.
		1.2	Define a mechanism for the return notification, whether auto send or placed in a repository for pick by user group at a later time.		22	Get back XML stream or PDF of what case it was , form or document that was received along with when, transaction number, phone number of filer, etc
		1.3	Define the Level 1 Acknowledgement	-		

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.3.1	Define the "Successfully received" acknowledgement message		12i	"Real time" confirmation/success/rejection (with reason) of filing – Business Act, Tech Act – "lodging a doc"
		1.3.2	Define the "Packet rejected" acknowledgement message			
		1.3.3	Return the following data: Batch ID#, Case#, and user defined field, date/time submitted, document type, applicant name, date-of-injury, number of attachments.		8, 9	As an EAMS filer, the original submission date to be tracked so I can resubmit if there are validation errors"
	-	1.3.4	Define the Rejection : Due to formatting errors, identify format error			

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
	-	1.4	Define the Level 2 Acknowledgement	-		
		1.4.1	Define the "Submission accepted" acknowledgement message			
		1.4.2	Define the "Submission on hold for 15 days" acknowledgement message.			
		1.4.3	Include all of the identification data information (1.3.2) from Level 1,			

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.4.4	When accepted: simple acknowledgement of successful filing, Return the EAMS case reference# for case opening (allow for up to 15 case #'s) and the Master Case#.			
		1.4.5	Define the basic feed back information to be provided in acknowledgement		70e	8) Notice of immediate assigned WJC
					71c	Results in electronic documentation that we have accepted for filing whatever it was they said they gave us
		1.4.6	When errors are encountered: Return the error codes as part of the response.		71p	Enhance the EAMS batch process to automatically remove (delete) any transactions from the "Holding Tank" that have received one or more errors

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.4.7	When errors are encountered: Provide a link to error code table on the FTP site to obtain error code description as part of the response.			
		1.4.8	When errors are encountered: Provide the link to the documents in error as part of the response.			
		1.5	All errors for each transaction must be reported back to the sender in one response transaction.		71p	a) All errors for each transaction must be reported back to sender in one response transaction.

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.6	Provide confirmation that the submission created the desired workflow for internal users.		69g	Confirmation of receipt of the submission and acceptance of same would be highly helpful as well. And confirmation that the submission created the desired workflow for internal users would be helpful as well. (Sometimes we see that our Petition made it
3)	Provide notification of planned outages using the system unavailability rule			MH	11c	Notification of outages based on availability rule.
					14g	Notification of planned outages used system unavailability rule
4)	Provide a complete summary of all errors contained within the transaction after it has been processed by the EAMS batch interface.			MH		

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.1	Enhance the EAMS batch process to report all detectable errors for the filing		71o	Provide a complete summary of all errors contained within the transaction after it has been processed by the EAMS batch interface.
						a) The EAMS batch process must be enhanced to report all detectable errors for the filing
		1.2	Enhance the EAMS batch process to automatically remove (delete) any transactions from the "Holding Tank" that have received one or more errors		71p	Enhance the EAMS batch process to automatically remove (delete) any transactions from the "Holding Tank" that have received one or more errors
	<u>Filing: Set of Bulk Features</u>					
	-					
6)	Provide filing capability.			MH		

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.1	Provide the ability to file case documents electronically		12e	Filing Viewing
		1.2	Provide the ability to print an appropriately formatted form/document that the submitter could serve on other parties		73d	e) and if EAMS will not serve other parties, send back to submitter a copy of, or the ability to download an appropriately formatted form/document that the submitter could serve on other parties
7)	Define a single standard for connectivity.			MH	15h	Connect via a B2B gateway and we enter to H.T. synch receipt of filing. A synch confirmation of success/ denial
10)	Define standards valid for all submissions			MH		

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.1	Define the standards to implement the Data Oriented format		11a, 12b, 40	Data Oriented (not form oriented)
		1.2	Define the standards for submitting a common data transaction packet		12k, 30	Common transaction data transaction format – packet
		1.3	Define the standards to implement a common data transmission methodology		16g	Common data transmission method
		1.4	Define the standard that Electronic Filings must be built in XML format and in accordance with specifications from the DWC		15b	All submissions via XML
					71a	Scalable e-filing or electronic filing
						a) XML schema coming to

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
						DWC
					71r	Electronic Filings must be built on XML format standard and in accordance with specifications from the DWC.
		1.5	Define the criteria to ensure that each transaction is complete		71m	Provide immediate (real time) technical edit response to insure that each transaction is complete (contains all required data fields and attachments, if any, and meets XML structural integrity for the form type being submitted).
		1.6	Define the standard for single, universal, data stream utilization by all filers for EAMS submission		15e	Single, universal, data stream utilized by all for EAMS submission

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.7	Develop the functionality enabling external users to file from their office		17	Be able to file from office
		1.8	Develop the functionality permitting the external user to submit the necessary data prior to a hearing		18	Get all data in without having to physically go to office prior to hearing
					71b	External users who have information in electronic form should be able to provide it to DWC and have it flow electronically from end to end

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.9	Provide the external user with the capability to submit case data, supporting documents and case updates.		68	we would like to submit case data, supporting documents, case updates from my case management system, as well as attend cases through teleconference, over the Internet so that we can streamline filing, processing and completion of Workers Comp cases with
		2.1	Define the standards requiring NORs to be a structured form		69e	Faster association to cases without delay and without the need for multiple processing requests (e-filing the Notice of Representation and later requesting its processing). Filing the NOR should automatically update the EAMS file. Maybe NORs should be
		2.2	Filing the NOR automatically updates the EAMS file			

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
10A)	Define an industry standard format to be used for attachments			MH	71s	Must support multiple attachments in various industry standard formats including PDF, PDF-A, TIFF, GIFF, etc.
11)	Implement automatic preservation of the original filing date for 15 days (per the rules of administration)		Retain rule 102223 to retain the original filing date for the 15 day period	MH		
		1.1	Emulate current filing rules		14f	Original filing date in the event of – emulate current filing rules
		1.2	Enhance the batch process to automatically delete transactions from the "Holding Tank" that have received one or more errors		71p	Enhance the EAMS batch process to automatically remove (delete) any transactions from the "Holding Tank" that have received one or more errors

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.3	Implement the rule that the document date filed is the document "lodged" date		24	Rule is the date of the document is the date filed, which hopefully is same as "lodged" date. This is same as present practice (affirm with JH)
13)	Provide the capability to support Electronic Signatures on various incoming documents.			MH		
		1.1	Provide the capability to support Electronic Signatures on various incoming documents.		3	As an EAMS filer, electronically sign documents to be submitted
					12i	Electronic signatures
					16i	E-signature (Security)
					44	E-signatures discussion needs to take place
					47	E-signatures or equivalent may be required to verify numbers of people at the meeting.

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
					71f	Authentication of user and verification of data
						c) Real electronic signature (is this necessary or can authentication suffice?)
					71q	Capability to support Electronic Signatures on various incoming documents.
14)	Implement the functionality to replace the cover sheet and separator sheet with a data header.			MH		
		1.1	Define the functionality to submit the equivalent of one cover page per packet			

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.2	Replace cover sheet and separator sheet with a data header		14e	Replace cover sheet with a data header and separator sheet
					51	Need to change process to kill off the cover sheets and separators and use more current scanning technology. How to get data into system, not how to arrange the separators. Forms are just means to an end of organizing data to get it into a system, and p
					52	Replace cover sheet with transaction (data) header, followed by XML table of data, and any attached PDFs. This is the package or envelope that would be submitted electronically
					57	Eliminate the "Cover Page" and "Document Separator" for electronic submission.

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
15)	DWC shall develop and provide to all interested parties a detailed list of all data elements, validations and business rules that will be required for successful filing of each DWC and WCAB form to be filed using the systems contemplated in this project.			MH		
16)	DWC publishes and maintains a complete list of edits on a form by form basis (data element rule)			MH		
		1.1	Formulate and implement pre-processing business rules.		71d	Eliminate DWC handling of documents through electronic verification

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.2	Develop the Level 1 validation process to include all rule validations currently in OCR and Eforms.		11b	Emulate current business filing rules.
		1.3	Validate that document passes editing criteria.		71f	Authentication of user and verification of data
		1.4	Define function to produce error acknowledgement when editing criteria is not satisfied			a) Authentication and validation that document is error-free or provides error report back to sender
		1.5	Validate that information is appropriately applied on documents			b) Authentication and validation that documents are complete and correct
					12f	Pre Validated Data
					12h	Agency to develop set of business rules

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
					15d	Formulate pre-processing business rules to be more extensive than current processing and after initiation of case all docs require it
		1.6	Define real time validation feature		16b	Real time validation
		1.7	Reject transactions not passing edit criteria		16d	Do not allow filings with errors into the process
					25	Want to develop system that does not allow errors into batch/holding tank
					27	Don't allow transmission of docs to holding tank that cannot achieve validation
					28	File only things that will be processed without error, e.g. that were preprocessed and validated by submitter
					32	Validation happens outside DWC

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.8	Define acknowledgements, docket list, DEU and return to work issue (RSU) info, etc., validation criteria.		70e	3) Validates
						<ul style="list-style-type: none"> • Filings & dates • Service & dates
17)	Form template should be rendered in the same format by the end user and the DWC			MH		
		1.1	Define a printable version of what the DWC receives identical to the way the form appears in the DWC database		12a	Alternative electronic filing system
					39	Alternative electronic filing system

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
21)	Provide the ability to file additional and amended liens.			MH	65c	We want to be able to file additional and amended liens via EAMS, thus saving the duplication of work necessary to file a separate lien when parties need an updated lien.
22)	Provide the ability to file documents under seal			MH		
		1.1	Address the methodology to process documents under seal		13c	Need to address filing of sealed documents – why, how handled
					50	Want to be able to seal my packet until it arrives at DWC so that no one else can see what is in it. Encryption is a possibility

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
24)	Provide a working test environment and minimum standards for external users	1.1	Provide a working test environment for vendors to test and certify their filing solutions.	MH	64c	I would like the DWC to provide a working test environment for vendors, DWC to monitor submission failures from each vendor.
					70d	We must have test lab
		1.2	Establish DWC monitoring of submission failures from each vendor.			
		1.3	Provide a working test environment and minimum standards for external users		64c	I would like the DWC to provide a working test environment for vendors to test and certify their filing solutions. Once tested and approved, I would like the DWC to monitor submission failures from each vendor. If and when a pre-determined threshold of f
	<u>Security/Confidentiality</u>					
	-					

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
26)	Provide the capability to protect transmissions to and from the division.			MH		
		1.1	Secure data transmissions to external user		13b	Viewing access to case mgmt Encryption
					16h	Secure data transmission (Security)
						a. Filing capability
						b. Viewing capability
					33	Privacy of data: cannot be intermingled with others' cases
					35	System must have assurance of privacy
					36	Once data leaves DWC to go back to any party or filers, it must be secure along the way

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.2	Collaborate with external user to define requirements to seal packets transmitted to DWC.		50	Want to be able to seal my packet until it arrives at DWC so that no one else can see what is in it. Encryption is a possibility
27)	Require security and audit trails for all transactions into DWC			MH	15f	Security audit trails – Manage Access
	<u>Other Requirements</u>					
29)	Facilitate the filing of the unrepresented QME reports to the DEU			MH		This will require a change in what information is being captured out of forms or change the form that information is being captured from and require some database work

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.1	Define the QME summary rating form in an electronic format.		10	As a QME for an unrepresented worker, to file my report with DEU for summary rating
38)	Define the rules for 3rd party filers concerning the retention of data and documents filed with 3rd party filers.			MH	53	Vendors may not be given access to viewing documents in cases. They need to be able to pass through information without having view access to it
	<u>Technical Requirements</u>					
39)	Provide open solution that is operating system agnostic			MH		

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.1	Provide a configurable Gateway hardware/software mechanism for managing electronic transactions from a variety of different operating systems.		71k, 71h	Provide a configurable Gateway hardware/software mechanism for managing thousands of trading partners submitting electronic transactions from a variety of different operating systems including, but not limited to the following:
						o Windows
						o Macintosh
						o Unix (SCO, Solaris, etc.)
						o Linux
						o MVS
		1.2	Permit only authorized connections to the Gateway		71i	Permit only authorized connections to Gateway

Requirement Number	High Level Requirement (HLR) Description		Detail Business Requirement (DBR) Objective	Priority: Must Have (MH), Should Have (SH), Nice To Have (NH)	Use Case Stmt #	Associated Use Case Statements submitted by External
		1.3	Provide any necessary client software for all DIR/DWC trading partners to connect to the Gateway, regardless of their respective Operating System.		71j	Provide any necessary client software for all DIR/DWC trading partners to connect to the Gateway, regardless of their respective Operating System.

Appendix C: EAMS Access Business Use Case Statements

Requirement Number	Requirement
	<i>The following requirements are not listed in any specific order.</i>
1	As an EAMS filer, the ability to submit 1 or more filings and related attachments
2	As an EAMS filer, to be notified if the filing is duplicated
3	As an EAMS filer, electronically sign documents to be submitted
4	As an EAMS filer, receive acknowledgements of successful submission and filing so I know quickly when there is a problem.
5	As an EAMS filer, data from EAMS' databases to be available so that I can pre-populate forms with accurate data.
6	As an EAMS filer, data to be validated before, during, and after submissions so that I can quickly know when the filing has errors and problems
7	As an EAMS filer, submit one or more forms via the internet so I can reduce paper filing time and costs
8	As an EAMS filer, the original submission date to be tracked so I can resubmit if there are validation errors"
9	As an EAMS filer, see the data that was just filed, so I can confirm the submission is correct
10	As a QME for an unrepresented worker, to file my report with DEU for summary rating
11	Functional/non-functional/misc. design criteria
11a	Data Oriented (not form oriented)
11b	Emulate current business filing rules.
11c	Notification of outages based on availability rule.
12	EAMS ACCESS
12a	Alternative Electronic Filing
12b	Data Oriented
12c	Prepop of Data update in the case file
12d	Auto pop – gen. case on eform
12e	Filing Viewing
12f	Pre Validated Data
12g	Zero Manuel Validation Errors
12h	Agency to develop set of business rules
12i	Real time" confirmation/success/rejection (with reason) of filing – Business Act, Tech Act – "lodging a doc"
12j	Automatic cross notification – potentially reduces level of viewing
12k	Common transaction data transaction format – packet
12l	Electronic signatures
12m	Avoid duplicate filing – request 3 require review of case file prior to filing e.g. docket sheet

Requirement Number	Requirement
12n	External users need feedback e.g. docket sheets – echo back or “pick up” - define expansion of readily available data
12o	Stop filing redundant information
12p	2 D Bar Codes – free on internet
13	Security/Confidentiality
13a	Transmissions are held private and most is limited to the filing and related case parties.
13b	Viewing access to case mgmt Encryption
13c	Need to address filing of sealed documents – why, how handled
14	Filing: Set of Bulk Features
14a	Submit data 1 and to N attachment in a “filing packet’ ‘envelope
14b	Need naming convention – e.g. unattended filing etc, programmatic electronic transmission
14c	Ability to parse up to 15 companion cases e.g. cover sheet etc.
14d	Lose form metaphor and adopt a data metaphor
14e	Replace cover sheet with a data header and separator sheet
14f	Original filing date in the event of – emulate current filing rules
14g	Notification of planned outages used system unavailability rule
14h	Do we have potential “User Accts” authorized user
14i	Data integrity
14j	Complete form but only send data
15	Minimum Data Requirements
15a	Possible to file lien with 5 data fields but it does not satisfy the business need e.g. judge. Hence, we need to review the minimum data requirements that currently exist and increase the required data fields to reflect satisfaction of “Business Requirements”
15b	All submissions via XML
15c	Reduce data submission requirements when case # is present
15d	Formulate pre-processing business rules to be more extensive than current processing and after initiation of case all docs require it
15e	Single, universal, data stream utilized by all for EAMS submission
15f	Security audit trails – Manage Access
15g	Security admin of logon and passwords
15h	Connect via a B2B gateway and we enter to H.T. synch receipt of filing. A synch confirmation of success/ denial
15i	Public/private part over ship
16	Desirable features:
16a	Zero manual intervention/validation of error
16b	Real time validation
16c	Real time confirmation
	a. Received, Y/N?
	b. With/out errors?

Requirement Number	Requirement
	c. Reason for errors
16d	Do not allow filings with errors into the process
16e	Bulk filing – vendor based filing, transaction vendor
16f	Services to all parties
	a. Automatic cross notification
16g	Common data transmission method
16h	Secure data transmission (Security)
	a. Filing capability
	b. Viewing capability
16i	E-signature (Security)
16j	Duplicate filing
	a. Pre-population
	b. Rejection of duplicate filings
17	Be able to file from office
18	Get all data in without having to physically go to office prior to hearing
19	Quick or Real time confirmation acknowledgement and acceptance of filing
20	Would like to see confirmation both that the document was received and that it was successfully accepted into system. (would prefer real time)
21	Acknowledgement of receipt of information should be synchronous
22	Get back XML stream or PDF of what case it was , form or document that was received along with when, transaction number, phone number of filer, etc
23	a. The document information could go into the clerk queue for them to accept or reject
24	Rule is the date of the document is the date filed, which hopefully is same as "lodged" date. This is same as present practice (affirm with JH)
25	Want to develop system that does not allow errors into batch/holding tank
26	Need to determine how to send message of reason for failure if document does not make it into batch and storage system
27	Don't allow transmission of docs to holding tank that cannot achieve validation
28	File only things that will be processed without error, e.g. that were preprocessed and validated by submitter
29	Other requirements
30	Common data transmission format
31	Definition of what is in a packet of filed information
32	Validation happens outside DWC
33	Privacy of data
34	- cannot be intermingled with others' cases
35	System must have assurance of privacy
36	Once data leaves DWC to go back to any party or filers, it must be secure along the way

Requirement Number	Requirement
37	Case participants must have view ability (or reasonable alternative) for viewing filed documents. They need way to know which complete and incomplete documents are in the system.
38	Not just filing access, but parties should be able to understand what is in system already. Need to be able to know what is in file, either by seeing the individual documents or having trust that what is in the docket list is also in the final delivered product.
39	Alternative electronic filing system
40	Should be data-oriented, not form oriented
41	Pre-population of forms should take place from system wherever possible
42	Acknowledgements sent when information is submitted and again when it is accepted.
43	Cross notification desired by many
44	E-signatures discussion needs to take place
45	Can reduce duplicate filings if way to know if document has made it into system; don't file what is already in system and can be pointed to
46	Can create docket sheet of what has been filed and (periodically) push that out to all parties on a case so they know what is in file
47	E-signatures or equivalent may be required to verify numbers of people at the meeting.
48	Need to be able to file attachments and unstructured documents in addition to structured forms or data streams
49	Attachments need to be able to show up as distinct and separate files
50	Want to be able to seal my packet until it arrives at DWC so that no one else can see what is in it. Encryption is a possibility
51	Need to change process to kill off the cover sheets and separators and use more current scanning technology. How to get data into system, not how to arrange the separators. Forms are just means to an end of organizing data to get it into a system, and possibly to give copies back to parties if they need a record of a settlement
52	Replace cover sheet with transaction (data) header, followed by XML table of data, and any attached PDFs. This is the package or envelope that would be submitted electronically
53	Vendors may not be given access to viewing documents in cases. They need to be able to pass through information without having view access to it
54	Discussion of regulatory and legislative mandates.

Requirement Number	Requirement
55	Is WCAB going to set forth regulations that require filers to meet all regulations, with sanctions and returns thereof.
56	Ability to programmatically create and package a transaction (i.e. C&R, DOR) for submission to the EAMS system. This item requires "Package" definition.
57	Eliminate the "Cover Page" and "Document Separator" for electronic submission.
58	Ability to uniquely identify each submitted transaction
59	For each submitted transaction package, receive an initial acknowledgement of receipt, either Asynchronous or Synchronous.
60	For each submitted transaction package, the ability to "Query" the "Process" status and/or disposition of the submitted transaction. Use of this approach puts the responsibility of "Package" or "Transaction" status on the user.
61	Ability to have EAMS complete all relevant forms "Fill In" database information based on the EAMS number and the forms request being submitted. Use of this approach would greatly minimize the need for sensitive information such as SSAN, date of birth, etc. to be transmitted and/or exposed to environments outside of the controlled EAMS environment.
62	Ability to request "Read Only" informational data from the EAMS database based on the EAMS number. Both the request and the response should be encrypted to satisfy any potential security concerns
63	DOCUMENT SERVICE PROVIDER
	DIGITALLY SCAN DOCUMENTS TO BE UPLOAD IN BULK TO THE DWC ON BEHALF OF OUR CLIENTS (LAW FIRM; INSURANCE COS AND TPA'S) WITH CONFIDENCE THAT THE DIGITAL IMAGES WILL BE WITHIN BROADER TOLERANCES AND NOT REJECTED BY THE DWC, THUS CAUSING UNNECESSARY DELAYS AND INCREASED COST
64	As a vendor

Requirement Number	Requirement
64a	I would like the DWC to clearly state that they are encouraging vendors to develop this filing product and deploy it to the masses. This will make it clear that end-users are not expected to develop their own applications if they don't want or need to.
64b	I would like the DWC to clearly state that vendor-produced applications that are designed to run on a client's local computer desktop will have no separate distinctions such as "direct", "direct access", "more secure" or other term or preference from the DWC over web-enabled Internet applications built and deployed by vendors. Failure to level the playing field early in the design and development process will deter web-enabled application vendors from wanting to participate in the design and implementation if our products may be treated as a "less-desirable" solution from the DWC's perspective.
64c	I would like the DWC to provide a working test environment for vendors to test and certify their filing solutions. Once tested and approved, I would like the DWC to monitor submission failures from each vendor. If and when a pre-determined threshold of failures is reached by a vendor no additional filings should be accepted from the vendor until such time as they successfully re-test and re-certify their solution again with the DWC. If all of the business rules are spelled out before testing and document failures still occur in production, the vendor is not pre-validating correctly and therefore is causing failures to occur. The submission acceptance rate for documents submitted by this new filing methods must be kept to a very high threshold, perhaps 99% or higher for first-time submissions.
64d	I would like the DWC to keep a very narrow scope on this filing project. I believe that electronic document filing (in data form) in the new "bulk filing"/"peer-to-peer" filing system is all the project should accomplish. This will expedite the filing of documents into EAMS. All other searching, tracking (hearings/events) and future document retrieval should be accomplished though the existing EDEX reporting system in use by thousands of end users today.

Requirement Number	Requirement
65	San Francisco
	As external Users
	we would like the SSN to appear in the case details featured on EAMS so that we can more efficiently match the SSN to the ADJ number on the hearing notices
	As lien claimants,
	We would like the WC date of injury and body parts to appear in the case details featured on EAMS so we can quickly determine if our claim matches the facts of the WC case. This helps prevent filing of unnecessary liens, saving work and paper.
	We want to be able to file additional and amended liens via EAMS, thus saving the duplication of work necessary to file a separate lien when parties need an updated lien.
66	Santa Barbara
	As a lien claimant
	I would like to be able to enter dates of benefits on a 1st time lien. Currently EDD can only fill in the opening lien portion even if all benefits are paid out.
	I would like to be able to "print" the OAR to properly serve documents on parties.
	I would like to be able to see/print the WCAB hearing calendar for a particular WCAB and Day
67	Chino Hills
	As a claims administrator
	I would like to have access to lien's filed by other EDD offices even though our field office is not a party to the case [in order] to avoid filing duplicate liens.
	I would like to view the settlement documents and proposed C&R's on EAMS to speed the negotiation process
68	Information Technology Branch
	As a heavy claims administrator and filer
	we would like to submit case data, supporting documents, case updates from my case management system, as well as attend cases through teleconference, over the Internet so that we can streamline filing, processing and completion of Workers Comp cases with EAMS and DWC/DIR
	as a defense counsel office

Requirement Number	Requirement
69	<p>1) We would like it if the forms would auto populate information both by filling out information from the user's case management system and by auto populating the fields with data directly from EAMS, for those fields of information which the EAMS file contains, such as parties addresses, case numbers (upon entry of an injured worker's name), dates of injury, body parts, etc.</p>
	<p>2) Changes to the EAMS file, such as changes of addresses, handling locations or addition or deletion (ending) of case parties could be also made into structured forms which automatically modify the EAMS file for immediate processing which would not necessitate DWC staff intervention</p>
	<p>3) Notification to the parties of changes to the EAMS file as soon as they take place would be extremely helpful to the parties – maybe an automatic notice can be sent out to the case parties regarding the change (like a notice of hearing gets automatically generated after a Declaration of Readiness to Proceed has been e-filed, when a party files a change of address a notice goes out to the other parties). This would be helpful as not always do parties serve their notices on all parties (especially lien claimants, who seem to move a lot, and they fail to notify defendants of their new location, which turns out to be cumbersome on the defendants)</p>
	<p>4) In the same manner, when a new Application for Adjudication of Claim gets filed and the case number gets assigned, notice to all parties mentioned in the Application should be automatically sent out to each party.</p>
	<p>5) Faster association to cases without delay and without the need for multiple processing requests (e-filing the Notice of Representation and later requesting its processing). Filing the NOR should automatically update the EAMS file. Maybe NORs should be a structured form which populates fields in the EAMS file. That would allow for immediate association, which would take the burden off of the DWC staff who process these NORs and it would really help out external users who wait for weeks to get associated. And automatically informing the other parties would be helpful.</p>
	<p>6) It would be helpful if the Public Search Tool could be expanded to provide all the necessary information which will assist the filer to fill out forms. Currently (other than being an E-filer), the only avenue to obtain and verify case information is EDEX. However EDEX is provided by a vendor and there is a fee associated to obtaining the information. It would be highly helpful if the Public Search Tool could provide information on all cases, not just active ones, and more information that it provides today, more along the lines of what EDEX provides (i.e. case parties, full addresses for case participants or the full address record, body parts, companion cases, etc.)</p>

Requirement Number	Requirement
	<p>7) Confirmation of receipt of the submission and acceptance of same would be highly helpful as well. And confirmation that the submission created the desired workflow for internal users would be helpful as well. (Sometimes we see that our Petition made it into FileNet, however we are uncertain as to whether it went to a judge's queue for review).</p>
	<p>8) We'd like for forms to require less information, when the information is already in EAMS. (Filers have many problems filing their documents because the information is already contained in EAMS but filers don't have access to the information and when there is an information mismatch, the filings get rejected or DWC staff have to correct to allow for the submission to go thru). I agree with all the fields which were made mandatory in the Applications for Adjudication of Claim, Stipulations with Request for Award and Compromise & Release forms, because I can see why so many details are required in settlement documents and Applications, when they are opening documents. However, once the case has been opened in EAMS, I don't believe the information should be required, as EAMS would already have the information. It should only be required, if the information changed (like an address) - there could be a check box the user filling out the form could check to specify the address is new and hence alerting the system that it will not match with the one in the EAMS file but it needs to replace the one in EAMS.</p>
	<p>9) Having longer form fields, as many times the length is insufficient to enter all the information desired.</p>
	<p>10) Ability to save completed forms for re-submitting them later (i.e. saving an Answer and if later we have to file an Amended Answer, then if you can use the original Answer, all the information would be already in the form and you can just make the necessary changes that apply to the amendment.</p>
	<p>A note on e-forms:</p>
	<p>11) We would like to have the ability to uncheck e-form boxes/buttons after they were checked in error (currently OCR forms have the ability (we use CTRL-Z) but e-forms don't and you cannot uncheck boxes and it forces the user to close the form and start over. Those forms are not very forgiving!</p>

Requirement Number	Requirement
	12) Document Titles in the dropdowns to E-forms should only include those titles external users are allowed to use and the internal document titles should be invisible to external users, as this creates confusion as to which ones they can use - or they could be color coded for distinction purposes.
	13) Adding additional titles to the dropdowns would be helpful as well. (Also note the OCR DCS titles list contains a title of "Answer", however the e-forms dropdown does not. It would be helpful to have an Answer title and/or a Response title, as well as a Trial Brief (using Points and Authorities for Trial Brief is confusing to external users).
	14) Forms should have an "amended" button (such as Answers to Application)

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Appendix D: SFTP Forms-ID Mapping

FORM ID	FORM
10232.1	Coversheet (but this is being changed to a transaction header)
WCAB 1	Application for Adjudication for Claim
10214(a)	Stipulations with Request for Award
10252.1	Declaration of Readiness to Proceed (expedited trial)
WCAB 6	Notice and Request for Allowance of Lien
10250.1	Declaration of Readiness to Proceed
10214(c)	Compromise and Release

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Appendix E: SFTP Bulk Filing Forms Specification



SFTP Bulk Filing
Forms Specifications

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