

**DIVISION OF WORKERS' COMPENSATION
ELECTRONIC DATA EXCHANGE
(EDEX-4)**

GENERAL OVERVIEW

EDEX will allow service providers (formerly known as Subscribers) to send and receive various classes of transactions to and from DWC's computing platform. These transactions will be processed against DWC's Electronic Adjudication Management System (EAMS).

EDEX-4 currently operates on the following processing schedule cycles (in military time):

Cycle Transaction Types

- 06:00 Delivery of Significant Events (011) and Hearing Notifications (009), new Case Opening and changes to the official address record (007) from previous day's EAMS activities where a CaseWatch or SSNWatch was in place. These are referred to as ROG007's though they have the same format as REC007. They are generated only once a day from the overnight process that looks to see if there were any Official Address Record changes or significant events that took place the previous day in EAMS.
- 08:00 CaseWatch and SSNWatch (004/005) and Inquiry transactions (006/007/013)
- 10:00 CaseWatch and SSNWatch (004/005) and Inquiry transactions (006/007/013)
- 14:30 CaseWatch and SSNWatch (004/005) and Inquiry transactions (006/007/013)
- 16:00 CaseWatch and SSNWatch (004/005) and Inquiry transactions (006/007/013)
- 20:30 CaseWatch and SSNWatch (004/005) and Inquiry transactions (006/007/013). Also includes any rollover from previous daily cycle overflows.

Any transactions submitted after the EDEX cycle start times will be processed in the next EDEX cycle. Response transactions from each EDEX processing cycle will vary depending on the volume of transactions being processed. This can vary widely and it is impossible to estimate. It typically requires a minimum of 30 minutes to process each cycle. It is also not uncommon for a cycle to overrun the next cycle. When this occurs, the next cycle will launch when the previous cycle completes. It will pick up any new 004/006 transactions at the time it executes.

NOTE: Inbound files submitted to EDEX may "optionally" be compressed using the GZIP utility or similar software compatible with GZIP. If you choose to gzip your inbound files to us, then the filename extension must be .gz. DWC will use GZIP to uncompress any zipped files. Improperly formatted files will be discarded without notice.

NOTE: We currently recommend that you DO NOT compress inbound files to EDEX as we have had some issues with corruption that seem to be associated with the delivery method used.

NOTE: All response files will be compressed using GZIP and will contain a .gz extension.

For those service providers using the VAN connectivity option, it should be noted that EDEX runs a full process each weeknight at 20:30 regardless of Official State Holidays; these non-prime time transactions incur the least transaction message charges from the VANs. Prime time transactions incur the highest transaction message charges from the VAN. If you are using the VAN connectivity option and cost is a factor, you should consider dropping off transactions after "prime time" for the 2030 cycle.

During the daily processes (08:00 thru 20:30) we can accept all regular incoming transaction types but due to the DWC EAMS (Electronic Adjudication Management System's processing requirements we will not return any Significant Event (011) and Hearing Notification (009) responses until the following morning cycle at 06:00am.

We will limit each daily cycle to 200 inquiry transactions and 200 CaseWatch/SSNWatch transactions from each EDEX Service Provider. The overflow will be added into the 20:30 cycle processing schedule. The 20:30 process will

be limited to 5,000 transactions per Service Provider, per transaction type. This includes all transactions that were overflowed from the daily cycle times. The overflow (over 5,000 cumulative transaction) from this will not be processed and currently will not be reported as error. They will be dropped.

Batch jobs are scheduled on the DWC/EDEX processor to:

- 1) Pick up and Drop off SFT data in the designated directory; and
- 2) Open our GXS EDI SERVICES mailbox and request download of all E3PUT transactions. After completion of the processing of that run's transactions, responses will then sent directly back to the service provider's mailbox on the VAN using the E3GET class. VAN transmissions must use the Class code of E3PUT for sending transactions to EDEX and E3GET for retrieving transactions from EDEX. All other Class codes will be ignored.

The record descriptions are organized so that the even-numbered transactions (004 and 006) are inbound submissions to EDEX. The odd-numbered transactions (005, 007, 009, 011 and 013) are outbound responses that EDEX will return to the service provider/subscriber. Each EDEX transaction sent by a service provider to DWC will be charged the DWC transaction fee. This fee is currently a flat rate of 20 cents per transaction charged to the EDEX Service provider. The fee will be assessed on each **incoming** transaction, whether correct or incorrect, with the exception of withdrawal of SSNWatch or CaseWatch (Service Level 3). Each service provider will be invoiced in arrears on a quarterly basis. There is no charge for a withdrawal transaction. This transaction fee is subject to change without notice through the regulatory process.

Not included in the DWC flat transaction fee would be any charges associated with maintenance of the VAN account, message unit charges associated with establishing a VAN session, SFT minimum annual charge and any data exchange fees or any external hardware/software requirements. These fees will be the responsibility of the service provider.

* As an alternative, accounts can be established on other VANs. However, there may be additional charges for data transfer to and from alternate VANs. DIR will not be responsible for any costs associated with data transfer.

WATCH PROCESS (004 Transaction Set)

This set of transactions is used to place a “watch” on the EAMS Claims Adjudication system. There are two types of watches, SSNWatch and CaseWatch.

There are only three service levels that are currently valid for the Watch process. They are Service Level 1, CaseWatch; Service Level 2, SSNWatch and Service Level 3, Withdrawal. This class of service is submitted to EDEX utilizing **record description 004** record format. Each inbound 004 transaction will receive a response in the form of a **005 transactions** record set.

- **CaseWatch (EDEX Service Level 1).** The CaseWatch is used to receive future case information on a specific Adjudication case based on the EAMS Case Reference Number. In addition, electronic notification of the receipt of a Compromise & Release, Stipulation with Request for Award or other significant document as well as the setting, rescheduling or cancellation of a hearing on a case where a CaseWatch has been posted will be provided via transaction sets **009** (Hearing info) and **011**. These transactions will be automatically generated for each CaseWatch/SSNWatch.

The CaseWatch is used to receive notification of any “future” events on an existing Adjudication case. When either a Significant Event occurs or a Hearing is scheduled for a case on which there is a CaseWatch recorded, the service provider will receive notification in the form of a 009 Transaction Set (Hearing Notice) or 011 Transaction Set (Significant Event Notice).

The Hearing Notification (**009**) and Significant Event Notification (**011**) transactions will be placed in the requestor's mailbox or SFT file system on the 06:00 cycle the morning following the day the significant event or hearing notice is posted to the DWC EAMS System.

If a case is in hearing status on the day a CaseWatch is filed, EDEX will return a Hearing Notification (**009**) for “only” those hearings set into the future. It will not report any hearings set prior to the date the CaseWatch was filed. If you are interested in knowing about a previous or existing hearing, it is best practice to perform an EDEX Inquiry 006 transaction (see Inquiry Filing Process below) as the inquiry transaction will report the historical activity on the case.

- **SSNWatch (EDEX Service Level 2).** The SSNWatch is used to monitor for new Adjudication case openings for a specific SSN or EAMS Case Reference Number. If a case or cases exist in EAMS at the time of filing of the SSNWatch, you will need to discover these cases through an EDEX Inquiry 006 transaction (see Inquiry Filing Process below).

If a new case should open against the SSN or EAMS Case Reference Number, the subscriber will be notified with a 007 transaction response for each new case opened. This transaction will include all parties of record currently associated with the case and the response is delivered during the 06:00 cycle. To distinguish the SSNWatch responses from an Inquiry transaction response, the SFT filename is called ROG007 rather than REC007. However, the file format has the same layout as the REC007.

If further notification is required of future activities for a specific case, then a CaseWatch must be submitted in order to receive continuing notification of significant events on each case. The only purpose of the SSNWatch is to notify the EDEX client when a case is initially created.

Withdrawal of CaseWatch or SSNWatch (EDEX Service Level 3). No transaction charge will be assessed by DWC for this service level. This service level is reserved for the withdrawal of SSNWatch's and CaseWatch's currently on file with EDEX. You will receive an acknowledgement as to success or failure of the transaction in the form of an 005 transaction for each “Watch” record withdrawn.

INQUIRY FILING PROCESS (006/007/013)

There are two service levels identified for inquiry processing, full address record and partial address record. The full address services level provides all parties of record, including lien claimants and other miscellaneous parties. The partial address record service level provides only primary parties of record. Use of the partial address record for VAN customers will reduce transmission costs for this process.

This class of transactions is posted utilizing **record description 006**, the Inquiry Filing record format. Each transaction will result in a response in the form of **record description 007**.

SSN search. This class of transactions will allow a subscriber to query the DWC EAMS database for the existence of a WCAB case by SSN.

Each inquiry would require use of the injured worker's Social Security Number (**see record description 006**). Each transaction would be processed against the database to determine the current status of any specific matches. A transaction fee will be assessed for each request regardless of whether there is a or not. The response transaction is formatted according to a 007 record description. NOTE: DWC does not require the applicant to provide the SSN nor does DWC validate the SSN when it is provided on the case opening document. Therefore, it is possible to have a case created without an SSN to match against.

Case Number Search. This class of transaction will provide case information on a specific Adjudication case. The transaction will be processed against the database to determine the current status of the specific case as well as the five most recent significant events posted to the case or an option to receive full case history, all significant events for the case (record type 013). A transaction fee will be assessed for each incoming request whether or not a match is made. The response transaction is formatted according to a 007 record description.

There are a number of prerequisites for all EDEX activities:

- 1) EDEX Service Provider must establish a SFT account with DIR, or optionally the Service Provider must be registered with GXS EDI SERVICES, or an alternative VAN that has connectivity to GXS services, and have an account with a mailbox for information exchange. This is usually accomplished through the third party vendor who supplied EDEX interactive software to the EDEX service provider.
- 2) EDEX Service Provider must complete the EDEX Service Provider application with DWC and have an EDEX account in good standing.
- 3) For all EDEX transaction services, each EDEX client must be registered with DWC and have a valid DWC Client ID number that is registered with the appropriate EDEX Subscriber.
- 4) EDEX Service Providers must have the necessary hardware and a DWC certified software configuration to interact with GXS EDI SERVICES and/or SFT and EDEX. If you are not interested in developing the interactive software yourself, a list of approved EDEX software vendors is available from DWC EDEX Administration.

EXAMPLE SCENARIOS OF EDEX TRANSACTIONS

TRANSACTION #1 (CaseWatch using Transaction set 004/Service Level 1)

Subscriber enters Claims Adjudication (ADJ) case number and other mandatory fields (see record description 004) into an application on their PC, mini or mainframe. Each of these transaction records will need to be added to a sequential file stored on Subscriber's server for upload to DWC via SFT or to their mailbox on the GXS EDI SERVICES which will be downloaded by DWC.

A batch program is scheduled to open our mailbox and we will download the transactions from GXS EDI SERVICES into a sequential file at the State's primary data. CaseWatch and/or SSNWatch records are posted immediately to the EDEX tracking system.

Another batch program is scheduled to post the response file (in accordance with record description 005) containing the results of each transaction to the requestor's mailbox and/or SFT dataset designated for 005 responses.

The subscriber will open their mailbox to download responses at a schedule convenient to their business requirements.

TRANSACTION #2 (SSNWatch using Transaction set 004/Service Level 2)

Subscriber enters the Injured Worker's Social Security Number and other mandatory fields (see record description 004) into a GUI application that has been designed by a certified EDEX Software Vendor. Each of these transaction records will need to be added to a sequential file stored on the EDEX Service Provider's server/workstation for upload to DWC via SFT or uploaded to DWC's mailbox on the GXS EDI SERVICES which will be downloaded by DWC for processing.

A batch program is scheduled to open our mailbox and we will download the transactions from GXS EDI SERVICES into a sequential file at the State's primary datacenter. Successful SSNWatch records are posted immediately to the EDEX tracking system and will begin watching for new cases to open against that SSN.

Another batch program is scheduled to post the response file (in accordance with record description 005) containing the results of each transaction to the requestor's mailbox and/or SFT dataset designated for 005 responses.

The EDEX Service Provider will open their mailbox to download responses at a schedule convenient to their business requirements.

TRANSACTION #3 (Inquiry filing using Transaction set 006/Service Level 6)

A service provider/client provides a list of searches containing, at a minimum, the mandatory fields (in accordance with record description 006). Each transaction would be stored on their system in a sequential file for upload to GXS EDI Services or to their designated SFT account.

The subscriber would upload the transactions to our mailbox on GXS EDI SERVICES, if using VAN services.

A batch program is scheduled to open our mailbox and we will download the transactions from GXS EDI SERVICES or SFT into a sequential file for processing. Inquiries will process with each cycle.

Another batch program will be scheduled to post the response file (in accordance with record description 007) containing the results of each transaction to the requestor's mailbox or designated SFT account.

EDEX COST ACCOUNTING SYSTEM

The DWC database that processes each transaction will keep track of each transaction performed in order to assess charges to the service provider. The summary information will be extracted at the end of each quarter.

Invoices will be produced by DWC at quarterly intervals and mailed to each service provider. Invoices must be paid within thirty days to maintain an account in good standing and to continue EDEX service.

TWO IMPORTANT NOTICE FOR ALL EDEX SOFTWARE VENDORS and/or SUBSCRIBER/SERVICE PROVIDERS:

1. Data submitted and responses processed by VAN customers will not be affected by EDEX-4. However, EDEX Client ID's (referred to as DWC Client ID Nbr in the EDEX documentation) will be evaluated for accuracy and active status during processing. This field is a required field and the Client ID must be registered and assigned by DWC EDEX Administration to your EDEX Service Account. If a client changes subscribers, this change must be submitted and approved by DWC prior to submission of transactions to avoid rejection.

An updated copy of EDEX error codes is also being provided for your information. Please note the new codes highlighted in yellow. As stated in our EDEX-3 transition planning a few years ago, your programming should allow for exception handling of new error codes that may be introduced at any time. When this exception occurs you may want to provide the user with a message to indicate that a new error code has been encountered with instructions for them to contact their respective EDEX vendor for an update.

2. Over the years, there have been a number of requests for multiple EDEX Client ID's for an individual client whose sole purpose seemed to be for internal accounting purposes. This was not the intended purpose for EDEX Client ID's. EDEX Client ID's are issued to the end user of EDEX services. If additional tracking requirements are needed by the client, they need to be provided for through the EDEX Software Vendor's application. This could be accomplished by either adding additional tables and/or columns to the vendor's application to track the new requirements or through use of the Service Provider Control Number (formerly known as the Subscriber Control Number). The Service Provider Control Number is a user-defined field that may be used by the Software Vendor to pass any type of control information from the inbound transaction that will be returned in the outbound response. EDEX simply returns the exact contents of this field back in the response transaction to the Service Provider.