

PRESENT SOLUTION BUSINESS REQUIREMENTS FOR SFTP FILING

EAMS Hours

Monday – Wednesday	6:00 a.m. – 8:00 p.m.
Thursday	6:00 a.m. – 6:00 p.m.
Friday – Saturday	6:00 a.m. – 8:00 p.m.
Sunday	Closed

Filing Date

Any document filed after 5:00 p.m., or on a holiday, Saturday or Furlough day, is deemed filed as of the next business day. Reg 10230

Electronic Filing Exemption

Reg 10229

Definitions:

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

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

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

Definitions of IT terms to be supplied by DWC IT

Transaction – is for one case – a transaction has to include at least one (1) form and may include more than 1 form subject to our sequencing requirements.

Deletion of submissions with errors that won't allow the form and/or attachments to process into EAMS:

If more than one form is submitted in a transaction, and one is invalid, only the invalid form and its attachments will be deleted and the error response will be sent. The valid form(s) and their attachments will be processed and the success response will be sent.

From The External Requirements List

We identified 5 that appeared to need clarification:

#3 – Notification for planned outages – We will follow our existing methods of emailing notice to the SFTP trading partners – the trading partner agreement will require at least one (1) valid email address

#15 – Develop and provide detailed list of all data elements, validations, and business rules for the six (6) SFTP forms – DWC will provide and also publish on our website a spreadsheet identifying the fields for each of the six (6) SFTP forms, and whether they are mandatory and/or required for capture in DWC system

#16 – Publish and maintain the list in #15 – DWC will post it on our website and DWC alone is responsible for maintaining same. Any changes will be identified on the published version emailed to all SFTP trading partners.

#21 – Provide ability to file additional and amended liens – Our system at this time will not accept “amended” (checking the amended box on the form) liens. A change request is pending to correct this but will likely not be completed prior to implementation of SFTP filing. We do accept all additional liens, filed as “original” (do not check the box “amended”)

#22 – Provide ability to file documents under seal – Any such document(s) will have to be filed OCR – PJ has to make that determination.

Items not specifically noted on the External Requirements List:

Deletion of Form and attachments – the entire form and its attachments, will be deleted if the form or any of the attachments contain errors such that it will not successfully process into EAMS

Form Sequencing:

Case opening documents, Application for Adjudication of Claim (Application), Compromise and Release (C&R) or Stipulations with Request for Award (Stips): No other form on the case can be submitted until the Notice of Application has been issued and received. [For example, a transaction cannot contain a case opening document form with attachments and a Declaration of Readiness to Proceed (DOR) form on the same case]

A lien claim has to be successfully filed before a lien claimant can file a DOR.

A DOR or a non-case opening settlement document cannot be filed by a non-case participant. If the filer is not a case participant, they must first file a Notice of Representation (NOR) – DWC will emphasize to the District Offices the importance of promptly processing NORs.

S Signature and S Signature Verification

The SFTP trading partners will follow the e-form rules regarding S Signatures (see the e-form Reference Guide for details – it is posted on our website).

S Signature is to be used only on forms, never on a document that requires a wet/actual signature.

S Signature is to be in the format S FIRSTNAME LASTNAME

e.g. S JOHN JONES

The following forms require both an S Signature and an S Signature Verification:

Application

DOR

DOR for Expedited Hearing

Notice and Request for Allowance of Lien (Lien)

S Signature Verification Language

SIGNATURE VERIFICATION

I declare under penalty of perjury under the laws of the State of California that I personally entered the information on the attached e-form, or caused that information to be entered, that I placed or authorized by S signature to be placed thereon, and that by my signature on this form, I validate and authenticate my S signature on the e-form.

Executed on _____ at _____, California.

Type or Print Name

Signature

The S Signature Verification will be scanned in with the Proof of Service as a single document, filed under the Doc Title of PROOF OF SERVICE

Wet/actual signatures

The following documents will require that an actual “wet” signature be used:

S Signature Verification

Proof of Service

Scanned in signed settlement documents

Legacy Forms

No legacy forms will be accepted.

Current e-filers' ability to also do SFTP filing

Current e-filers will be allowed to do both e-forms and SFTP filing. The limitations on OCR filing for e-filers remain in place.

OCR Filing by SFTP trading partner

An SFTP trading partner is encouraged to file the six (6) forms only by SFTP, however, OCR filing of these six (6) forms will be allowed.

SFTP trading partner may file OCR the designated settlement documents prepared at the District Office at the time of a hearing – conference, MSC, Trial SFTP filers may submit walk through documents by SFTP filing – C&R and Stips SFTP filers cannot file by SFTP an Amended Application, a Death Application, a C&R Dependency, Stips Death, Third Party C&R or DOR for a satellite District Office. These must be filed by OCR.

SFTP Vendor trading partner – The vendor has chosen SFTP as its means of filing the six (6) designated forms. If a client of a vendor wants the vendor to file on their behalf, the vendor is encouraged to file by SFTP. The client does not then always thereafter have to file only through the vendor. The client can always file in any manner they are capable of doing; OCR or e-form.

SFTP Office/Individual trading partner – The office has chosen SFTP as its means of filing the six (6) designated forms and is encouraged to only use SFTP to file them but may file OCR.

Form Packages

DWC is looking to add with appropriate Doc Types, Doc Titles for:

Venue Authorization

10770.5 Verification

10770.6 Verification

as part of the SFTP present solution. Until then, the form packages are as follows:

APPLICATION

In addition to the form, only the following attachments will be allowed:

4906(g) Declaration – if more than one, all scanned in together as a single multi-page document

Fee Disclosure Statement

Venue Authorization

Proof of Service – which will include the S Signature Verification and 10770.5 Verification if appropriate

Which of these documents is required depends on the type of filer.

C&R

Only those documents found under Reg 10233 (d) (1) and for walk through, Reg 10280 – in general, those medical reports specified and documents relevant to a determination of the adequacy of the settlement not filed previously. And if it is a case opening document, the appropriate additional document(s) from the above list in Application

Proof of Service

No S Signatures go on the electronic version of the form

STIPS

Only those documents found under Reg 10233 (d) (1) and for walk through, Reg 10280 – in general, those medical reports specified and documents relevant to a determination of the adequacy of the settlement not filed previously. And if it is a case opening document, the appropriate additional document(s) from the above list in Application

Proof of Service

No S Signatures go on the electronic version of the form

DOR

Can only be filed after you have received the EAMS Case Number

In addition to the form, only the following attachments will be allowed:

Only those documents found in Reg 10233 (b) (1) – a single medical report or if the issue is non-medical, a single document, e.g. earnings, addressing the issue not filed previously – a Rating MSC DOR may require more medical reports than noted above.

Proof of Service – which will include the S Signature Verification and 10770.6 Verification if appropriate

DOR EXPEDITED

Can only be filed after you have received the EAMS Case Number

In addition to the form, only the following attachments will be allowed:

Only those documents found in Reg 10233 (b) (1) – a single medical report or if the issue is non-medical, e.g. earnings, a single document addressing the issue not filed previously

Proof of Service – which will include the S Signature Verification and 10770.6 Verification if appropriate

LIEN

Can only be filed after you have received the EAMS Case Number

In addition to the form, only the following attachments will be allowed:
Itemized Statement of Charges – if only medical bills exist, all will be scanned in as a single multi-page document
Proof of service – which will include the S Signature Verification and 10770.5 Verification

SOFTWARE CERTIFICATION

All SFTP trading partners must conduct product testing and receive certification from DWC of their software code and upon receipt of certification, their software code must be frozen. Any change to their software code requires re-certification before filing can continue.

ADDITIONAL ITEMS

Failure to follow our business practice and or IT requirements may result in revocation of your ability to SFTP file

We are leaning toward accepting attachments in only PDF format, to be compliant with the anticipated State mandate requiring this.