



EAMS Present Term Solution Technical Specifications

Department of Industrial Relations
Electronic Adjudication Management System

DRAFT



**EAMS Application
Development and Maintenance**



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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	21
4.1 Payload Layout	22
4.1.1 SubmitFormsToEAMS Layout.....	24
4.1.2 EAMSFilingResponse Layout.....	25
4.1.3 EAMSPacketReceiveResponse Layout	27
4.1.4 EAMSPacketValidationResponse Layout	28
4.2 DWCPacket Layout	29
4.3 Forms Layout.....	31
4.4 Canonical Data Model	31
4.4.1 EAMS Forms Canonical Model	32
5 Error and Validation Messages	36
5.1 Level 1	36
5.2 Level 2	37
5.3 Level 3	37
Appendix A: Abbreviations/Acronyms.....	38
Appendix B: EAMS Access Business Requirements List	41
Appendix C: EAMS Access Business Use Case Statements.....	41
Appendix D: SFTP Forms-ID Mapping	41
Appendix E: SFTP Bulk Filing Forms Specification	41

List of Tables

Table 1: Web Access High Level Requirements	8
Table 2: EAMS Access Must Have Requirements	11
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	20
Table 11: SubmitFormsToEAMS Payload Layout	25
Table 12: EAMSFilingResponse Layout	27
Table 13: EAMSPacketReceiveResponse Layout.....	27
Table 14: EAMSPacketValidationResponse Layout.....	29
Table 15: DWCPacket Layout.....	30
Table 16: EAMS Forms Canonical Data Model	34
Table 17: DOR to EAMS Forms Canonical Data Model mapping	35
Table 18: Error codes blocks to level mapping	36
Table 19: Sample Level 1 Error codes.....	37
Table 20: Sample Level 2 Error codes.....	37
Table 21: Sample Level 3 Error codes.....	37

List of Figures

Figure 1 – Bulk Filing – SFTP Flow Diagram.....	9
Figure 2 – DWCPacket – data encapsulation Diagram	21
Figure 3 – Submitter – EAMS Payload exchange Diagram.....	23
Figure 4 – Canonical Data Model	32

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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

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	

Table 2: EAMS Access Must Have Requirements

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

Original business Use Case Statement No:	Business Use Case Statement	High Level Requirement No:
12k,30	Define the standards for submitting a common data transaction packet	10
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 3: 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 4: 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 5: 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 6: 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 7: 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 8: 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 9: 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 the solution for the submitter in the “present term solution” as described in [section 2.1](#)

The following table lists the technical use cases that are applicable to the 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
UC-01	Register as EAMS Trading partner: <ol style="list-style-type: none"> 1) Connect to EAMS new trading partner account creation site 2) Provide account information 3) Submit request 4) Receive confirmation of submitted request 5) Receive confirmed user account number
UC-02	Create Packet: <ol style="list-style-type: none"> 1) Compile available forms by case 2) Compile relevant attachments for the forms 3) Create XML packet: <ol style="list-style-type: none"> a. Forms of the same case in a transaction b. Multiple transactions in a payload

	<p>c. Packet or envelope for the payload</p> <p>4) Validate XML packet against EAMS SFTP Schema</p>
UC-03	<p>Submit Packet to EAMS:</p> <ol style="list-style-type: none"> 1) Open SFTP session using trading partner account 2) Submit packet to designated drop off folder 3) update internal subject claim data with EAMS status of "sent to EAMS"
UC-04	<p>Pickup Level 1 success acknowledgement from EAMS:</p> <ol style="list-style-type: none"> 1) Open SFTP session 2) Identify designated SFTP pickup folder 3) Pickup level 1 receipt file 4) If success, update subject claim data with EAMS status of "received by EAMS" 5) If rejected, identify reject reason and resubmit corrected packet
UC-05	<p>Pickup Level 2 success acknowledgement from EAMS:</p> <ol style="list-style-type: none"> 1) Open SFTP session 2) Identify designated SFTP pickup folder 3) Pickup level 2 receipt file 4) If success, update subject claim data with EAMS status of "Initial Format Accepted by EAMS" 5) If rejected, identify the level 2 error and resubmit corrected packet
UC-06	<p>Pickup Level 3 success acknowledgement from EAMS:</p> <ol style="list-style-type: none"> 1) Open SFTP session 2) Identify designated SFTP pickup folder 3) Pickup level 3 receipt file 4) If success, update subject claim data with EAMS status of "Accepted by EAMS/DWC"

Table 10: 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:

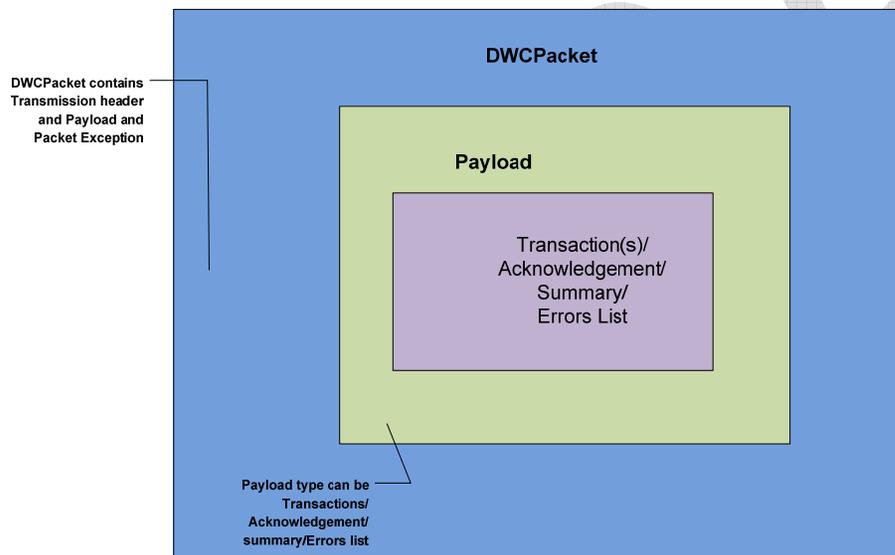


Figure 2 – DWCPacket – data encapsulation Diagram

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

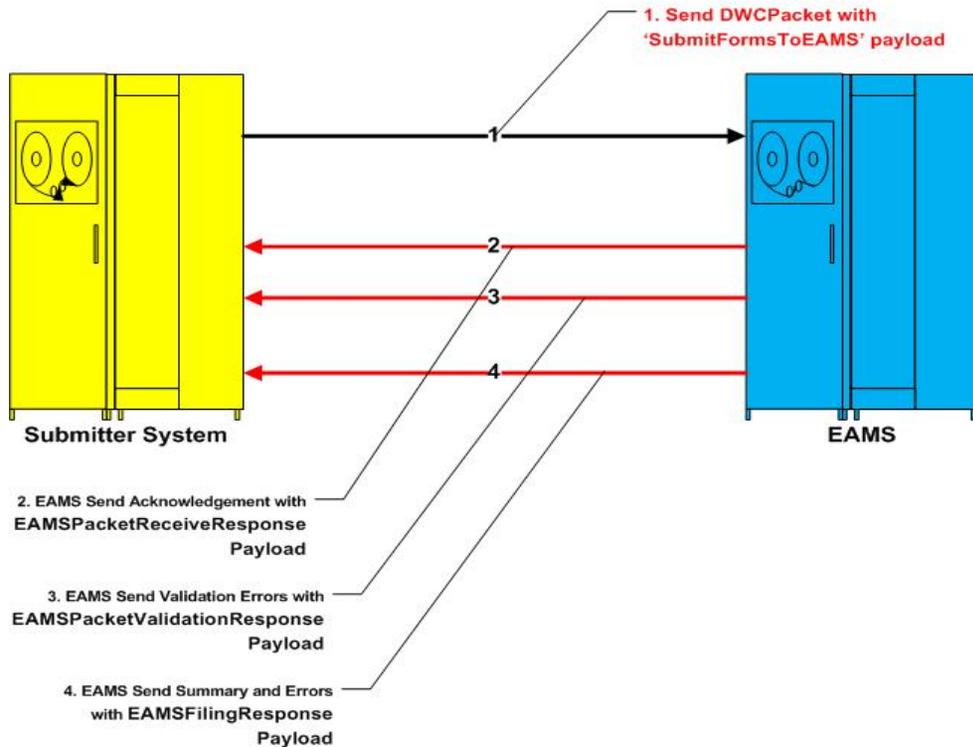


Figure 3 – Submitter – EAMS Payload exchange Diagram

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 11: 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 12: 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 13: 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 14: 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 15: DWCPacket Layout

4.3 Forms Layout

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

4.4 Canonical Data Model

EAMS Forms Canonical Data Model organizes all the form field elements and their domain. The following figure illustrates the mapping between various data models and the EAMS Form Canonical Data Model that are discussed in the present term solution.

EAMS Forms Canonical Data Model Mapping Diagram

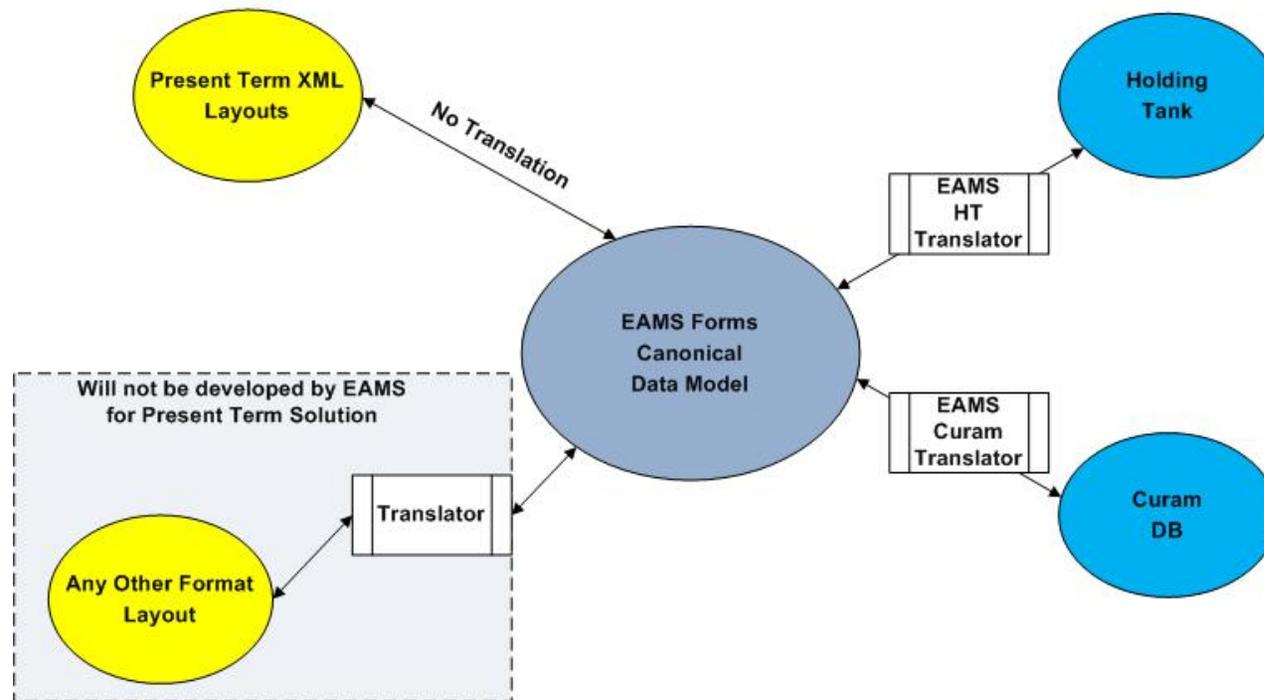


Figure 4 – Canonical Data Model

The EAMS Present Term Solution XML Layouts field definitions will be identical to the EAMS Forms Canonical Data Model. So when a submitter transmits the DWCPacket using the present term solution layout definition, EAMS will accept the transmission and process the transmission data that is submitted using the EAMS HT Translators and EAMS Cúram Translator.

When a submitter chooses to use an XML layout definition that is not identical to the EAMS Forms Canonical Data Model, the submitter must develop a translator to convert it to the standard DWCPacket layout format. EAMS will not develop translators to accept any other format of input transmission (example: 2GEFS format) that are not identical to the EAMS Forms Canonical Data Model.

The following mappings are identified for the EAMS Canonical Model in the present term solution.

- Forms Layout Fields to Canonical Fields Mapping
- Holding Tank to Canonical Fields Mapping
- Cúram to Canonical Fields Mapping

The following sub sections provide a sample of the EAMS Forms Canonical Model and its mapping.

4.4.1 EAMS Forms Canonical Model

The following table lists the canonical model developed for the EAMS DOR Form.

Domain	Canonical Name	Field Name	Data Type	Field Length	Min Occurs	Max Occurs	Description
Address	streetName1	Street Line 1	String	40	1	1	
	streetName2	Street Line 2	String	40	0	1	

Domain	Canonical Name	Field Name	Data Type	Field Length	Min Occurs	Max Occurs	Description
	city	City	String	25	1	1	
	state	State	String	2	1	1	
	zip5	ZIP 5	String	5	1	1	
	zip4	ZIP 4	String	4	0	1	
CaseInformation	caseNumber	Case Number	String	12	1	1	
InjuredWorkerName	firstName	First Name	String	25	1	1	
	lastName	Last Name	String	25	1	1	
	middleInitial	Middle Initial	String	1	0	1	
EmployerName	fullName	Full Name	String	56	1	1	
RoleType	roleTypeCode	Role Type	String	1	1	1	
HearingType	hearingtypeCode	Hearing Type Code	String	1	1	1	
Principallssues	compensationRate	Compensation Rate	String	1	0	1	
	permanentDisability	Permanent Disability	String	1	0	1	
	employment	Employment	String	1	0	1	
	rehabilitation_SJDB	Rehabilitation/SJDB	String	1	0	1	
	futureMedicalTreatment	Future Medical Treatment	String	1	0	1	
	other	Other	String	1	0	1	
	otherCommentField	Other Comment Field	String	20	0	1	
	temporaryDisability	Temporary Disability	String	1	0	1	
	aOE_COE	AOE/COE	String	1	0	1	
	selfProcuredMedicalTreatment	Self-Procured Treatment	String	1	0	1	
	discovery	Discovery	String	1	0	1	
Doctors	doctorsText	Doctors	String	40	0	1	
	doctorsDate	date	String	10	0	1	
DeclarantInformation	declarantStatesUnderPenalty	Declarant States Under Penalty	String	845	0	1	
	declarantSignature	Declarant Signature	String	40	1	1	
LawFirmInformation	name	Name	String	56	1	1	
	address	Address	String	56	1	1	

Domain	Canonical Name	Field Name	Data Type	Field Length	Min Occurs	Max Occurs	Description
	phoneNumber	Phone Number	Number	10	1	1	
CurrentDate	date	date	String	10	1	1	

Table 16: EAMS Forms Canonical Data Model

The following table lists Forms to canonical model mapping:

- DOR Form to Canonical Model mapping

Form Field Name	Domain	Canonical Name	Description
Case Number	CasInformation	caseNumber	
First Name	InjuredWorkerName	firstName	
Last Name		lastName	
Middle Initial		middleInitial	
Employer Name	EmployerName	fullName	
Employer Street Address	Address	streetName1	
Employer City		city	
Employer State		state	
Employer Zip		zip5	
Declarant Role	RoleType	roleTypeCode	code table value E - Employee A - Applicant D - Defendant L - Lien Claimant
Declarant Request Type	HearingType	hearingTypeCode	code table value M - Mandatory Settlement Conference S - Status Conference R - Rating MSC P - Priority Conference
Principal Issues (Checkbox)	PrincipallIssues		
Compensation Rate		compensationRate	

Form Field Name	Domain	Canonical Name	Description
Permanent Disability		permanentDisability	
Employment		employment	
Rehabilitation/SJDB		rehabilitation_SJDB	
Future Medical Treatment		futureMedicalTreatment	
Other		other	
Other Comment Field		otherCommentField	
Temporary Disability		temporaryDisability	
AOE/COE		aOE_COE	
Self-Procured Treatment		selfProcuredMedicalTreatment	
Discovery		discovery	
Doctor(s)	Doctors	doctorsText	
Dated		doctorsDate	
Declarant States Under Penalty ...	DeclarantInformation	declarantStatesUnderPenalty	
Declarant's Signature		declarantSignature	
Name and Law Firm	LawFirmInformation	name	
Law Firm Address		address	
Law Firm Phone Number		phoneNumber	
Date	CurrentDate	date	

Table 17: DOR to EAMS Forms Canonical Data Model mapping

5 Error and Validation Messages

Error messages are categorized into three different groups to be sent to the submitter when an input transmission is received. The three error message groups map to the three levels of acknowledgements that will be sent back to the submitter.

Following are the three levels of acknowledgements:

- 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

EAMS will send both the error code and error message in the summary/exception responses. EAMS will have a one-to-one mapping between an error code and the corresponding error message.

The following table defines the error codes numbering blocks that will be used:

Error Code Blocks	Level	Description
10000	Level 1	Error codes that are packet related will be thrown in level 1
20000	Level 2	Validation errors that are related to formatting of XML and any conditional field validation.
30000	Level 3	Batch processing errors.

Table 18: Error codes blocks to level mapping

5.1 Level 1

A Level 1 error message will be generated if there is a problem with the submitted packet.

The following table lists some of the sample Level 1 error messages.

Error Code	Error Message
10001	INVALID_PACKET_NAME - Packet is transmitted with invalid naming format.

Error Code	Error Message
10002	DUPLICATE_PACKET – Packet ID is already submitted to EAMS

Table 19: Sample Level 1 Error codes

5.2 Level 2

Level 2 error messages will be generated if there is a problem validating the input XML structure and entering the data into the holding tank (staging area). There should be minimal Level 2 errors because the XML schema validation will catch most of the invalid data field length and data type errors.

The following table lists some of the sample Level 2 error messages.

Error Code	Error Message
20001	INVALID_PAYLOAD_SCHEMA – Payload doesn't match the service name.
20002	INVALID_PAYLOAD_CONTENT – Payload failed schema validation
20003	INVALID_PACKET_CONTENT – Packet failed schema validation

Table 20: Sample Level 2 Error codes

5.3 Level 3

Level 3 error messages will be generated during the batch processing. The following table lists some of the sample Level 3 error messages.

Error Code	Error Message
30001	INVALID_CASE_NUMBER – Case Number doesn't exist in EAMS
30002	INVALID_ZIPCODE – Zip Code provided is not a valid zip code

Table 21: Sample Level 3 Error codes

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
Canonical Data Model	The canonical data model is the definition of a standard organization view of a particular subject, plus the mapping back to each application view of this same subject. The standard organization view is built traditionally using simple yet useful structures.
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 ESIGN 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	
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 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

<http://www.dir.ca.gov/dwc/ForumDocs/EAMSPresentTermSolutionDocumentRepository/EAMS%20access%20project%20high%20level%20business%20requirements.pdf>

Appendix C: EAMS Access Business Use Case Statements

<http://www.dir.ca.gov/dwc/ForumDocs/EAMSPresentTermSolutionDocumentRepository/EAMS%20access%20external%20user%20submitted%20use%20case%20statements.pdf>

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

Appendix E: SFTP Bulk Filing Forms Specification

<http://www.dir.ca.gov/dwc/ForumDocs/EAMSPresentTermSolutionDocumentRepository/AppendixEV1.2.pdf>