



EAMS External User Access

"Present Term" Solution

Department of Industrial Relations
Electronic Adjudication Management System



**EAMS Application
Development and Maintenance**



1 Overview

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 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.

1.2 Present-Term Solution Timeline

- ➔ Refined requirements: 1 month
- ➔ Technical development: 3-6 months
- ➔ User acceptance testing: 2 months
- ➔ Total time to implementation: 9 months

2 Public Web Access

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.

2.1.1 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>

3 FTP Bulk Filing

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.

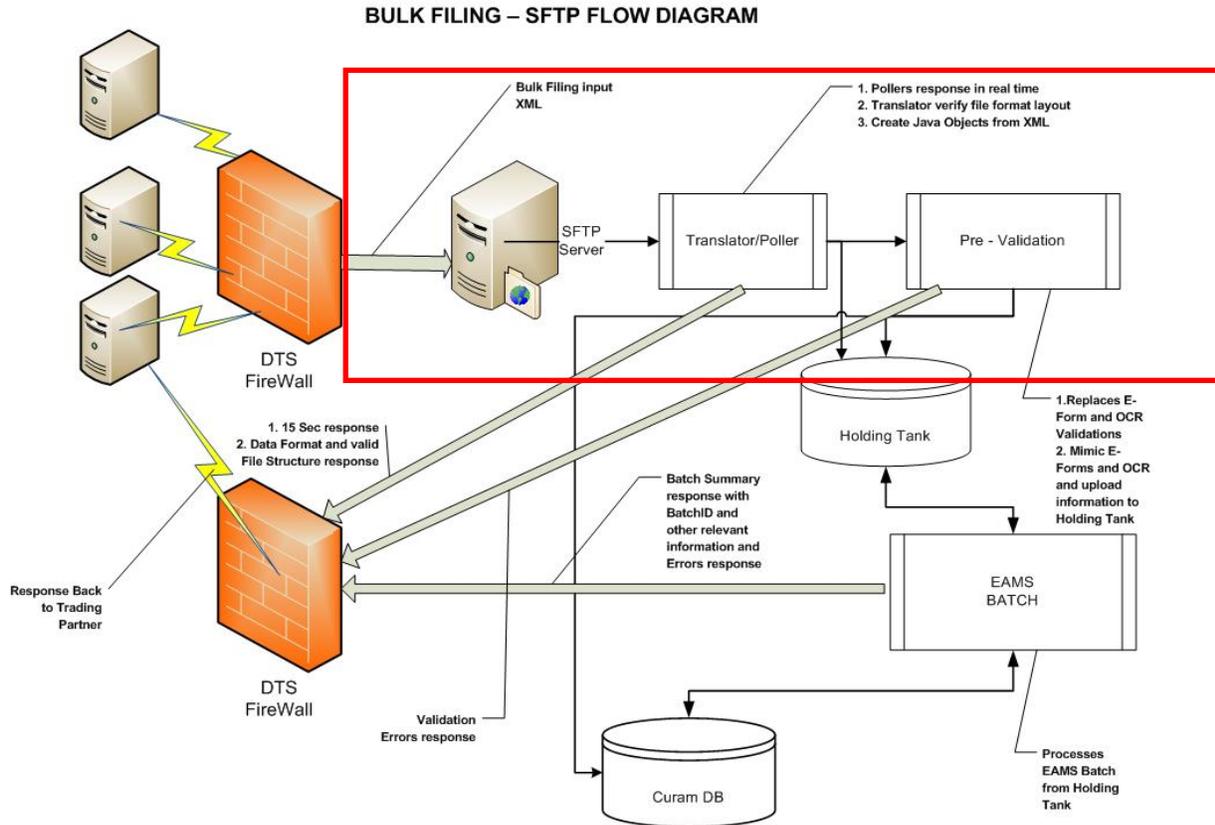


Figure 1

3.2 DIR-IS Activities

The following table lists the 21 “must have” (MH) requirements. The table identifies requirement ownership by DIR, DWC or the Office of Technology Services (OTECH).

Of the 21 MH requirements, five are the responsibility of DIR Information Services (IS). The remaining requirements will be addressed by DWC, external users and OTECH.

3.2.1 Table 1: Break Down Activities for Development—Validation

Number	Original requirement number	High level requirement (HLR) description	Priority: (MH)	Owner	Requirement addressed in solution
1	1)	Provide acknowledgement of transmitted submissions and filing status	MH	DIR	YES
2	3)	Provide notification of planned outages using the system	MH	DWC	

		unavailability rule			
3	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
4	6)	Provide filing capability	MH	DWC/OTECH	YES
5	7)	Define a single standard for connectivity	MH	OTECH	
6	10)	Define standards valid for all submissions	MH	DIR/OTECH	YES
7	10A)	Define industry standard formats to be used for attachments	MH	DIR/DWC	YES
8	11)	Implement automatic preservation of the original filing date for 15 days (per the rules of administration)	MH	DIR	YES
9	13)	Provide the capability to support electronic signatures on various incoming documents	MH	DWC/DIR	
10	14)	Implement the functionality to replace the cover sheet and separator sheet with a data header	MH	DWC/DIR	YES
11	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	
12	16)	DWC publishes and maintains a complete list of edits on a form by form basis (data element rule)	MH	DWC	
13	17)	Form template should be rendered in the same format by the end user and the DWC	MH	DWC	
14	21)	Provide the ability to file additional and amended liens	MH	DWC	
15	22)	Provide the ability to file documents under seal	MH	DWC/DIR	
16	24)	Provide a working test environment and minimum standards for external users	MH	OTECH	
16	26)	Provide the capability to protect transmissions to and	MH	OTECH	

		from the division			
18	27)	Require security and audit trails for all transactions into DWC	MH	OTECH/DIR	
19	29)	Facilitate the filing of the unrepresented QME reports to the DEU	MH	DWC	
20	38)	Define the rules for 3rd party filers concerning the retention of data and documents filed with 3rd party filers	MH	DWC/OTECH	
21	39)	Provide open solution that is operating system agnostic	MH	OTECH	

3.2.1.1 DIR-IS SFTP bulk filing requirements

Requirement Number	Technical Details
1	<ul style="list-style-type: none"> • The system must provide an acknowledgement of receipt of packet within 15 seconds of receiving packet. • This acknowledgement must indicate whether the packet was accepted for processing or rejected for processing. • The acknowledgement must contain all errors (if any) pertaining to the completeness of the packet. This includes verifying that: <ul style="list-style-type: none"> ○ all required fields have been filled in ○ fields have appropriate values, e.g. numeric fields have numeric fields ○ length of fields is correct ○ no XML errors • The acknowledgement must contain the following fields: <ul style="list-style-type: none"> ○ Batch id ○ case number ○ user defined field ○ date/time submitted ○ document type ○ applicant name ○ date of injury ○ number of attachments • If any of the information is not available the field will have a blank value. • The system will keep the submission on hold for 15 days after the initial filing date. • The system will send a simple acknowledgement of successful filing. • If the document filed was a case opening document, the acknowledgement will include the case reference number. • The system will provide confirmation that the appropriate workflow was initiated due to the submission. • The system must provide all possible errors in the transaction in one response.
2	<ul style="list-style-type: none"> • The system must provide a summary of all possible errors within the packet after it has been processed by the EAMS batch interface.
3	<ul style="list-style-type: none"> • The system will define an industry structured format to be used for attachments.
4	<ul style="list-style-type: none"> • The system must keep the original file date for the 15 calendar day retention period no matter how many times the packet is resubmitted in the 15 day period.

	<ul style="list-style-type: none"> The system will retain the packet for 15 calendar days in the event of an error. The system must 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.
5	<ul style="list-style-type: none"> The system must adhere to defined standards valid for all submissions.

3.2.2 Development Activities—Form Validations

Form Name	Validation	Count	Complexity
APPLICATION FOR ADJUDICATION OF CLAIM	17.1 Length/Format	152	High
	17.2 Edit	21	
STIPULATIONS WITH REQUEST FOR AWARD	18.1 Length/Format	310	High
	18.2 Edit	5	
DOR (EXPEDITED HEARING TRIAL)	21.1 Length/Format	22	Low
	21.2 Edit	2	
NOTICE AND REQUEST FOR ALLOWANCE OF LIEN	22.1 Length/Format	87	
	22.2 Edit	3	
DECLARATION OF READINESS TO PROCEED	23.1 Length/Format	57	Low
	23.2 Edit	5	
COMPROMISE AND RELEASE	26.1 Length/Format	250	High
	26.2 Edit	4	

3.2.3 Development Activities—Error Code Analysis

Sno:	Tasks
1	Define error code message standard
2	Review error code message standard
3	Define informational code standard
4	Review informational code standard
5	Define levels (severity) of error codes
6	Review levels (severity) of error codes
7	Define error text standard (displayed to user)
8	Review error text standard (displayed to user)
9	Define informational text standard (displayed to user)
10	Review informational text standard (displayed to user)
11	Define rules
12	Review rules
13	Define error codes
14	Review error codes
15	Define informational codes
16	Review informational codes

17	Document error & informational codes
18	Review documentation

3.3 FTP Bulk Filing Tools

The EAMS application management and maintenance team will use the following software and hardware to implement the project:

- XML
- Java
- Java Scripts
- Concurrent Version System(CVS)
- Issue Tracker
- Oracle Database Server