Requirement Number	Requirement	Refined Requirement	Source	Comments	Submission Date	Approval Status
EAMS ACCESS EXTERNAL USER SUBMITTED USE CASE STATEMENTS 07/06/09						
	The following requirements are not listed in any specific order.					
	User requirements from the AM meeting, rewritten in a story format					
1	As an EAMS filer, the ability to submit 1 or more filings and related attachments		Philip Grove		6/3/2009	
2	As an EAMS filer, to be notified if the filing is duplicated		" "			
3	As an EAMS filer, electronically sign documents to be submitted		" "			
4	As an EAMS filer, receive acknowledgements of successful submission and filing so I know quickly when there is a problem.		" "			
5	As an EAMS filer, data from EAMS' databases to be available so that I can pre-populate forms with accurate data.		" "			
6	As an EAMS filer, data to be validated before, during, and after submissions so that I can quickly know when the filing has errors and problems		" "			
7	As an EAMS filer, submit one or more forms via the internet so I can reduce paper filing time and costs		" "			
8	As an EAMS filer, the original submission date to be tracked so I can resubmit if there are validation errors"		" "			
9	As an EAMS filer, see the data that was just filed, so I can confirm the submission is correct		" "			
10	As a QME for an unrepresented worker, to file my report with DEU for summary rating		" "			
			" "			
11	**Functional/non-functional/misc. design criteria**		Philip Grove			
11a	Data Oriented (not form oriented)		" "			
11b	Emulate current business filing rules.		" "			
11c	Notification of outages based on availability rule.		" "			
12	**EAMS ACCESS**		Technical Advisory Group		6/8/2009	
12a	Alternative Electronic Filing		" "			
12b	Data Oriented		" "			
12c	Prepop of Data update in the case file		" "			
12d	Auto pop – gen. case on eform		" "			
12e	Filing Viewing		" "			
12f	Pre Validated Data		" "			
12g	Zero Manuel Validation Errors		" "			
12h	Agency to develop set of business rules		" "			
12i	Real time" confirmation/success/rejection (with reason) of filing – Business Act, Tech Act – "lodging a doc"		" "			

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12j	Automatic cross notification – potentially reduces level of viewing		" "			
12k	Common transaction data transaction format – packet		" "			
12l	Electronic signatures		" "			
12m	Avoid duplicate filing – request 3 require review of case file prior to filing e.g. docket sheet		" "			
12n	External users need feedback e.g. docket sheets – echo back or "pick up" - define expansion of readily available data		" "			
12o	Stop filing redundant information		" "			
12p	2 D Bar Codes – free on internet		" "			
13	**Security/Confidentiality**		" "			
13a	Transmissions are held private and most be limited to the filing and related case parties.		" "			
13b	Viewing access to case mgmt Encryption		" "			
13c	Need to address filing of sealed documents – why, how handled		" "			
14	**Filing: Set of Bulk Features**		" "			
			" "			
14a	Submit data 1 and to N attachment in a "filing packet' 'envelope		" "			
14b	Need naming convention – e.g. unattended filing etc, programmatic electronic transmission		" "			
14c	Ability to parse up to 15 companion cases e.g. cover sheet etc.		" "			
14d	Lose form metaphor and adopt a data metaphor		" "			
14e	Replace cover sheet with a data header and separator sheet		" "			
14f	Original filing date in the event of – emulate current filing rules		" "			
14g	Notification of planned outages used system unavailability rule		" "			
14h	Do we have potential "User Accts" authorized user		" "			
14i	Data integrity		" "			
14j	Complete form but only send data		" "			
15	**Minimum Data Requirements**		" "			
15a	Possible to file lien with 5 data fields but it does not satisfy the business need e.g. judge. Hence, we need to review the minimum data requirements that currently exist and increase the required data fields to reflect satisfaction of "Business Requirements"		" "			
15b	All submissions via XML		" "			
15c	Reduce data submission requirements when case # is present		" "			
15d	Formulate pre-processing business rules to be more extensive than current processing and after initiation of case all docs require it		" "			
15e	Single, universal, data stream utilized by all for EAMS submission		" "			
15f	Security audit trails – Manage Access		" "			
15g	Security admin of logon and passwords		" "			

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15h	Connect via a B2B gateway and we enter to H.T. synch receipt of filing. A synch confirmation of success/ denial		" "			
15i	Public/private part over ship		" "			
16	**Desirable features:**		" "			
16a	Zero manual intervention/validation of error		" "			
16b	Real time validation		" "			
16c	Real time confirmation		" "			
	a. Received, Y/N?		" "			
	b. With/out errors?		" "			
	c. Reason for errors		" "			
16d	Do not allow filings with errors into the process		" "			
16e	Bulk filing – vendor based filing, transaction vendor		" "			
16f	Services to all parties		" "			
	a. Automatic cross notification		" "			
16g	Common data transmission method		" "			
16h	Secure data transmission (Security)		" "			
	a. Filing capability		" "			
	b. Viewing capability		" "			
16i	E-signature (Security)		" "			
16j	Duplicate filing		" "			
	a. Pre-population		" "			
	b. Rejection of duplicate filings		" "			
			" "			
17	Be able to file from office		Technical Advisory Group		6/3/2009	
18	Get all data in without having to physically go to office prior to hearing		" "			
19	Quick or Real time confirmation acknowledgement and acceptance of filing		" "			
20	Would like to see confirmation both that the document was received and that it was successfully accepted into system. (would prefer real time)		" "			
21	Acknowlegement of receipt of information should be synchronous		" "			
22	Get back XML stream or PDF of what case it was , form or document that was received along with when, transaction number, phone number of filer, etc		" "			
23	a. The document information could go into the clerk queue for them to accept or reject		" "			
24	Rule is the date of the document is the date filed, which hopefully is same as "lodged" date. This is same as present practice (affirm with JH)		" "			
25	Want to develop system that does not allow errors into batch/holding tank		" "			
26	Need to determine how to send message of reason for failure if document does not make it into batch and storage system		" "			
27	Don't allow transmission of docs to holding tank that cannot achieve validation		" "			

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28	File only things that will be processed without error, eg that were preprocessed and validated by submitter		" "			
29	**Other requirements**		" "			
30	Common data transmission format		" "			
31	Definition of what is in a packet of filed information		" "			
32	Validation happens outside DWC		" "			
33	Privacy of data		" "			
34	- cannot be intermingled with others' cases		" "			
35	System must have assurance of privacy		" "			
36	Once data leaves DWC to go back to any party or filers, it must be secure along the way		" "			
37	Case participants must have viewability (or reasonable alternative) for viewing filed documents. They need way to know which complete and incomplete documents are in the syste.		" "			
38	Not just filing access, but parties should be able to understand what is in system already. Need to be able to know what is in file, either by seeing the individual documents or having trust that what is in the docket list is also in the final delivered product.		" "			
39	Alternative electronic filing system		" "			
40	Should be data-oriented, not form oriented		" "			
41	Pre-population of forms should take place from system wherever possible		" "			
42	Acknowlegements sent when information is submitted and again when it is accepted.		" "			
43	Cross notification desired by many		" "			
44	E-signatures discussion needs to take place		" "			
45	Can reduce duplicate filings if way to know if document has made it into system; don't file what is already in system and can be pointed to		" "			
46	Can create docket sheet of what has been filed and (periodically) push that out to all parties on a case so they know what is in file		" "			
47	E-signatuires or equivalent may be required to verify numbers of people at the meeting.		" "			
48	Need to be able to file attachments and unstructured documents in addition to structured forms or data streams		" "			
49	Attachments need to be able to show up as distinct and separate files		" "			
50	Want to be able to seal my packet until it arrives at DWC so that no one else can see what is in it. Encryption is a possibility		" "			
51	Need to change process to kill off the cover sheets and separators and use more current scanning technology. How to get data into system, not how to arrange the separators. Forms are just means to an end of organizing data to get it into a system, and possibly to give copies back to parties if they need a record of a settlement		" "			

2/25/2010

Requirement Number	Requirement	Refined Requirement	Source	Comments	Submission Date	Approval Status
52	Replace cover sheet with transaction (data) header, followed by XML table of data, and any attached PDFs. This is the package or envelope that would be submitted electronically		" "			
53	Vendors may not be given access to viewing documents in cases. They need to be able to pass through information without having view access to it		" "			
54	Discussion of regulatory and legislative mandates.		" "			
55	Is WCAB going to set forth regulations that require filers to meet all regulations, with sanctions and returns thereof.		" "			
56	Ability to programmatically create and package a transaction (i.e. C&R, DOR) for submission to the EAMS system. This item requires "Package" definition.		Jake Greenwell		6/11/2009	
57	Eliminate the "Cover Page" and "Document Separator" for electronic submission.		" "			
58	Ability to uniquely identify each submitted transaction		" "			
59	For each submitted transaction package, receive an initial acknowledgement of receipt, either Asynchronus or Synchronous.		" "			
60	For each submitted transaction package, the ability to "Query" the "Process" status and/or disposition of the submitted transaction. Use of this approach puts the responsibility of "Package" or "Transaction" status on the user.		" "			
61	Ability to have EAMS complete all relevant forms "Fill In" database information based on the EAMS number and the forms request being submitted. Use of this approach would greatly minimize the need for sensitive information such as SSAN, date of birth, etc. to be transmitted and/or exposed to environments outside of the controlled EAMS environment.		" "			
62	Ability to request "Read Only" informational data from the EAMS database based on the EAMS number. Both the request and the response should be encrypted to satisfy any potential security concerns		Jake Greenwell			
63	**DOCUMENT SERVICE PROVIDER**		Susan Gard/Chip Schumacher /External Access Advisory Group	Requirement proposed as a query by the advisory group to all groups to ellicit a response.	6/3/2009	
	DIGITALLY SCAN DOCUMENTS TO BE UPLOAD IN BULK TO THE DWC ON BEHALF OF OUR CLIENTS (LAW FIRM; INSURANCE COS AND TPA'S) WITH CONFIDENCE THAT THE DIGITAL IMAGES WILL BE WITHIN BROADER TOLERENCES AND NOT REJECTED BY THE DWC, THUS CAUSING UNNECESSARY DELAYS AND INCREASED COST		" "			

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64	**As a vendor**		Chris Floyd		6/12/2009	
64a	I would like the DWC to clearly state that they are encouraging vendors to develop this filing product and deploy it to the masses. This will make it clear that end-users are not expected to develop their own applications if they don't wan't or need to.		" "			
64b	I would like the DWC to clearly state that vendor-produced applications that are designed to run on a client's local computer desktop will have no separate distinctions such as "direct", "direct access", "more secure" or other term or preference from the DWC over web-enabled Internet applications built and deployed by vendors. Failure to level the playing field early in the design and development process will deter web-enabled application vendors from wanting to participate in the design and implementation if our products may be treated as a "less-disirable" solution from the DWC's perspective.		" "			
64c	I would like the DWC to provide a working test environment for vendors to test and certify their filing solutions. Once tested and approved, I would like the DWC to monitor submission failures from each vendor. If and when a pre-determined threshold of failures is reached by a vendor no additional filings should be accepted from the vendor until such time as they successfully re-test and re-certify their solution again with the DWC. If all of the business rules are spelled out before testing and document failures still occur in production, the vendor is not pre-validating correctly and therefore is causing failures to occur. The submission acceptance rate for documents submitted by this new filing methos must be kept to a very high threshold, perhaps 99% or higher for first-time submissions.		" "			
64d	I would like the DWC to keep a very narrow scope on this filing project. I believe that electronic document filing (in data form) in the new "bulk filing"/"peer-to-peer" filing system is all the project should accomplish. This will expedite the filing of documents into EAMS. All other searching, tracking (hearings/events) and future document retreival should be accomplished though the existing EDEX reporting system in use by thousands of end users today.		" "			
65	**San Francisco**		Lincoln-Hawkins/Angie Castañeda		6/12/2009	
	As external Users		" "			

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	we would like the SSN to appear in the case details featured on EAMS so that we can more efficiently match the SSN to the ADJ number on the hearing notices		" "			
	As lien claimants,		" "			
	we would like the WC date of injury and body parts to appear in the case details featured on EAMS so we can quickly determine if our claim matches the facts of the WC case. This helps prevent filing of unnecessary liens, saving work and paper.		" "			
	we want to be able to file additional and amended liens via EAMS, thus saving the duplication of work necessary to file a separate lien when parties need an updated lien.		" "			
66	**Santa Barbara**		" "			
	As a lien claimant		" "			
	I would like to be able to enter dates of benefits on a 1st time lien. Currently EDD can only fill in the opening lien portion even if all benefits are paid out.		" "			
	I would like to be able to "print" the OAR to properly serve documents on parties.		" "			
	I would like to be able to see/print the WCAB hearing calendar for a particular WCAB and Day		" "			
67	**Chino Hills**		" "			
	As a claims administrator		" "			
	I would like to have access to lien's filed by other EDD offices even though our field office is not a party to the case [in order] to avoid filing duplicate liens.		" "			
	I would like to view the settlement documents and proposed C&R's on EAMS to speed the negotiation process		Lincoln-Hawkins/Angie Castañeda		6/12/2009 - 6/15/2009	
68	**Information Technology Branch**		Aaron McKinley		6/15/2009	
	As a heavy claims administrator and filer		" "			
	we would like to submit case data, supporting documents, case updates from my case management system, as well as attend cases through teleconference, over the Internet so that we can streamline filing, processing and completion of Workers Comp cases with EAMS and DWC/DIR		" "			
	as a defense counsel office		Andrea Coletto		6/15/2009	
69	1) We would like it if the forms would auto populate information both by filling out information from the user's case management system and by auto populating the fields with data directly from EAMS, for those fields of information which the EAMS file contains, such as parties addresses, case numbers (upon entry of an injured worker's name), dates of injury, body parts, etc.		" "			
			" "			

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	2) Changes to the EAMS file, such as changes of addresses, handling locations or addition or deletion (ending) of case parties could be also made into structured forms which automatically modify the EAMS file for immediate processing which would not necessitate DWC staff intervention		" "			
			" "			
	3) Notification to the parties of changes to the EAMS file as soon as they take place would be extremely helpful to the parties – maybe an automatic notice can be sent out to the case parties regarding the change (like a notice of hearing gets automatically generated after a Declaration of Readiness to Proceed has been e-filed, when a party files a change of address a notice goes out to the other parties). This would be helpful as not always do parties serve their notices on all parties (especially lien claimants, who seem to move a lot, and they fail to notify defendants of their new location, which turns out to be cumbersome on the defendants)		" "			
			" "			
	4) In the same manner, when a new Application for Adjudication of Claim gets filed and the case number gets assigned, notice to all parties mentioned in the Application should be automatically sent out to each parties.		" "			
			" "			
	5) Faster association to cases without delay and without the need for multiple processing requests (e-filing the Notice of Representation and later requesting its processing). Filing the NOR should automatically update the EAMS file. Maybe NORs should be a structured form which populates fields in the EAMS file. That would allow for immediate association, which would take the burden off of the DWC staff who process these NORs and it would really help out external users who wait for weeks to get associated. And automatically informing the other parties would be helpful.		" "			

2/25/2010

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	6) It would be helpful if the Public Search Tool could be expanded to provide all the necessary information which will assist the filer to fill out forms. Currently (other than being an E-filer), the only avenue to obtain and verify case information is EDEX. However EDEX is provided by a vendor and there is a fee associated to obtaining the information. It would be highly helpful if the Public Search Tool could provide information on all cases, not just active ones, and more information that it provides today, more along the lines of what EDEX provides (i.e. case parties, full addresses for case participants or the full address record, body parts, companion cases, etc.)		" "			
			" "			
	7) Confirmation of receipt of the submission and acceptance of same would be highly helpful as well. And confirmation that the submission created the desired workflow for internal users would be helpful as well. (Sometimes we see that our Petition made it into FileNet, however we are uncertain as to whether it went to a judge's queue for review).		" "			
	8) We'd like for forms to require less information, when the information is already in EAMS. (Filers have many problems filing their documents because the information is already contained in EAMS but filers don't have access to the information and when there is an information mismatch, the filings get rejected or DWC staff have to correct to allow for the submission to go thru). I agree with all the fields which were made mandatory in the Applications for Adjudication of Claim, Stipulations with Request for Award and Compromise & Release forms, because I can see why so many details are required in settlement documents and Applications, when they are opening documents. However, once the case has been opened in EAMS, I don't believe the information should be required, as EAMS would already have the information. It should only be required, if the information changed (like an address) - there could be a check box the user filling out the form could check to specify the address is new and hence alerting the system that it will not match with the one in the EAMS file but it needs to replace the		" "			
			" "			
	9) Having longer form fields, as many times the length is insufficient to enter all the information desired.		" "			
			" "			

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	10) Ability to save completed forms for re-submitting them later (i.e. saving an Answer and if later we have to file an Amended Answer, then if you can use the original Answer, all the information would be already in the form and you can just make the necessary changes that apply to the amendment.		" "			
			" "			
	A note on e-forms:		" "			
	11) We would like to have the ability to uncheck e-form boxes/buttons after they were checked in error (currently OCR forms have the ability (we use CTRL-Z) but e-forms don't and you cannot uncheck boxes and it forces the user to close the form and start over. Those forms are not very forgiving!		" "			
			" "			
	12) Document Titles in the dropdowns to E-forms should only include those titles external users are allowed to use and the internal document titles should be invisible to external users, as this creates confusion as to which ones they can use - or they could be color coded for distinction purposes.		" "			
			" "			
	13) Adding additional titles to the dropdowns would be helpful as well. (Also note the OCR DCS titles list contains a title of "Answer", however the e-forms dropdown does not. It would be helpful to have an Answer title and/or a Response title, as well as a Trial Brief (using Points and Authorities for Trial Brief is confusing to external users).		" "			
			" "			
	14) Forms should have an "amended" button (such as Answers to Application)		Andrea Coletto			