

PROPOSED - PRESENT TERM SOLUTION BUSINESS RULES FOR SFTP FILING

Business Rule #	Business Rule Name	Business Rule Description	Business Rule Additional Information
BR-01	EAMS Hours	SFTP filing shall be done within EAMS operational hours. EAMS hours of operation are as follows: Monday – Wednesday 6:00 a.m. – 8:00 p.m. Thursday 6:00 a.m. – 6:00 p.m. Friday – Saturday 6:00 a.m. – 8:00 p.m. Sunday Closed.	
BR-02	Filing Date	Any document filed after 5:00 p.m., or on a holiday, Saturday or furlough day, is deemed filed as of the next business day. 8 Cal Code Reg § 10230.	
BR-03	Trading Partner Contact	The submitter will identify in the trading partner agreement a primary and alternate contact person and separate email addresses for each. Only these persons may contact the UDQ operator and/or the EAMS Help Desk. This contact will also receive notices of planned outages.	
BR-04	Notification of Planned Outages	DWC will follow its existing method of notice. That is, email notice will be provided to the SFTP primary contact. Notification of planned outages will be sent from the EAMS Command Center (CC) through the Central Registration Unit (CRU) and from CRU to the SFTP trading partner contact.	See BR-03

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BR-05	Software Certification	All SFTP trading partners must conduct product testing and receive certification from DWC of their software code and upon receipt of certification, their software code must be frozen. Any change to trading partner software code requires re-certification before filing can continue.	
BR-06	DWC Business Rule and DIR IS Compliance	Failure to follow DWC business rules and/or DIR IS requirements may result in revocation of trading partner ability to SFTP file.	
BR-07	Format of Attachments	PDF is the preferred format for attachments, but other formats such as TIFF and Word are acceptable. Word Perfect format will not be accepted.	
BR-08	Data Elements, Validations and Business Rules for SFTP Filing	DWC will provide and also publish on its Web site a spreadsheet identifying the fields for each of the six (6) SFTP forms, and whether they are mandatory, conditionally mandatory and/or optional required for capture in EAMS.	
BR-08a		DWC will post BR-08 spreadsheet on its Web site and DWC alone is responsible for maintaining same. If changes need to be made to the published version they will be emailed to SFTP trading partner contact and the updated changes will be listed on the published version on the Web site.	
BR-09	Electronic Filing Exemption	8 Cal Code Reg § 10229. However, any OCR filed documents must follow the OCR filing regulations.	

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BR-10	Deletion of Forms and Attachments	The entire form and its attachments will be deleted if the form or any of the attachments contain errors such that it will not successfully process into EAMS.	
BR-10a		If more than one form is submitted in a transaction, and one is invalid, only the invalid form and its attachments will be deleted and the error response will be sent. The valid form(s) and their attachments will be processed and the success response will be sent.	
BR-10b		DOR – If the error message “No suitable slot available” is issued, the DOR and any attachments will be deleted. The submitter may resubmit the transaction for up to one (1) week. If, following the week of resubmission, the error message is still returned, the submitter contact person may contact the EAMS Help Desk by email – EAMSHelpDesk@DIR.CA.GOV – with the case number, injured worker name and the location of the district office. The EAMS Help Desk will work with the district office to resolve the error. The submitter will not refile until so advised by the EAMS Help Desk.	See BR-03

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BR-10c		Archived cases - If the error message "Case is archived" is issued, the form and any attachments will be deleted. The submitter's contact person will compile a list of all such case numbers and injured workers' names and submit this information in only one (1) email per day to the designated UDQ operator, requesting that they be un-archived. Only after the submitter's contact person receives an email confirmation that the cases are un-archived, may the documents be refilled.	See BR-03
BR-11	Form Sequencing	Case opening documents, Application for Adjudication of Claim (Application), Compromise and Release (C&R) or Stipulations with Request for Award (Stips): No other form on the case can be submitted until the Notice of Application has been issued and received or the filer has confirmed that the C&R or Stips has been received and a case number assigned. [For example, a transaction cannot contain a case opening document form with attachments and a Declaration of Readiness to Proceed (DOR) form on the same case].	
BR-11a		A lien claim has to be successfully filed before a lien claimant can file a DOR.	

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BR-11b		If the filer or SFTP client is not a case participant they must first file a Notice of Representation (NOR). Third party SFTP filers must ensure their clients' NORs are on file in EAMS prior to filing DORs, lien claims or non-case opening settlement documents on their behalf. DWC will emphasize the importance of promptly processing NORs to district offices.	
BR-12	S Signature and S Signature Verification	SFTP trading partners will follow the e-form rules regarding S signatures (see the e-form reference guide posted on the DWC Web site for details).	
BR-12a		S signature to be used only on forms, never on a document that requires a wet/actual signature.	
BR-12b		S signature is to be in the format S FIRSTNAME LASTNAME: e.g. S JOHN JONES.	
BR-12c		The following forms require both an S signature and an S signature verification: Application DOR DOR for Expedited Hearing Notice and Request for Allowance of Lien (Lien).	S signature verification language: I declare under penalty of perjury under the laws of the State of California that I personally entered the information on the attached electronically filed form, or caused that information to be entered, that I placed or authorized by S signature to be placed thereon, and that by my signature on this form, I validate and authenticate my S signature on the electronically filed form. Executed on _____ at _____, California. Type or Print Name: Signature:

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BR-12d		The S signature verification will be scanned in with the proof of service as a single document, filed under the doc title: PROOF OF SERVICE.	
BR-13	Wet/Actual Signatures	The following documents will require actual "wet" signature(s) be used: S signature verification Lien claim verifications – 8 Cal Code Reg §§ 10770.5, 10770.6 Proof of service Scanned in signed settlement documents.	
BR-14	Legacy Forms	No legacy forms will be accepted.	
BR-15	Additional and Amended Liens	Additional liens will be accepted provided they are filed as "original" (do not use the "amended" field). Amended liens will not be accepted.	
BR-16	Documents Under Seal	Any such document(s) must be filed OCR. The presiding judge (PJ) must make determination. 8 Cal Code Reg § 10272.	
BR-17	Current e-filers' Ability to Also File Via SFTP	Current e-filers will be allowed to do both e-forms and SFTP filing. The limitations on OCR filing for e-form trial participants remain in place.	
BR-18	OCR Filing by SFTP Trading Partner	An SFTP trading partner is encouraged to file the six (6) forms by SFTP only, however, OCR filing of these six (6) forms will be allowed.	

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Business Rule #	Business Rule Name	Business Rule Description	Business Rule Additional Information
BR-18a		SFTP trading partner may file by OCR the designated settlement documents prepared at the district office at the time of a hearing – conference, MSC, trial.	
BR-18b		SFTP filers may submit walk through documents by SFTP filing – C&R and Stips	
BR-18c		SFTP filers cannot file by SFTP an Amended Application, a Death Application, a C&R Dependency, Stips Death, Third Party C&R or DOR for a satellite district office. These must be filed by OCR.	
BR-19	SFTP Vendor Trading Partner Filing Method	The vendor has chosen SFTP as its means of filing the six (6) designated forms. If a client of a vendor wants the vendor to file on their behalf, the vendor is encouraged to file by SFTP. The client does not then always thereafter have to file only through the vendor. The client can always file in any manner they are capable of doing; OCR or e-form.	
BR-20	SFTP Office/Individual Trading Partner Filing Method	The office has chosen SFTP as its means of filing the six (6) designated forms and is encouraged to only use SFTP to file them but may file OCR.	
BR-21	Form Packages	Submission of a form – must comply with court administrator’s regulations regarding completion of fields and filing.. The format of the document will use existing business logic as follows in BR-21a-j.	DWC is looking to add appropriate doc types/doc titles for: Venue authorization 10770.5 verification 10770.6 verification

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Business Rule #	Business Rule Name	Business Rule Description	Business Rule Additional Information
BR-21a	Application: Injured Worker	<p>In addition to the form, only the following attachments will be allowed:</p> <p>4906(g) declaration – if more than one, all scanned in together as a single multi-page document</p> <p>Fee disclosure statement</p> <p>Venue authorization</p> <p>Proof of service – which will include the S signature verification.</p>	
BR-21b	Application: Claims Administrator	<p>In addition to the form, only the following attachments will be allowed:</p> <p>4906(g) declaration – if more than one, all scanned in together as a single multi-page document</p> <p>Proof of service – which will include the S signature verification.</p>	
BR-21c	Application: Lien Claimant	<p>In addition to the form, only the following attachments will be allowed:</p> <p>4906(g) declaration – if more than one, all scanned in together as a single multi-page document</p> <p>Proof of service – which will include the S signature verification and 10770.5 verification if appropriate.</p>	

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Business Rule #	Business Rule Name	Business Rule Description	Business Rule Additional Information
BR-21d	C&R	<p>Only those documents found under 8 Cal Code Reg § 10233 (d)(1) and for walk through, § 10280 – in general, those medical reports specified and documents relevant to a determination of the adequacy of the settlement not filed previously. If the C&R is a case opening document, the appropriate additional document(s) from the "Application" rule. Scanned in wet signed C&R Proof of service.</p>	No S signatures on electronic version of the form
BR-21e	Stips	<p>Only those documents found under Cal Code Reg § 10233 (d)(1) and for walk through, § 10280 – in general, those medical reports specified and documents relevant to a determination of the adequacy of the settlement not filed previously. If the Stip is a case opening document, the appropriate additional document(s) from the "Application" rule. Scanned in wet signed C&R Proof of service.</p>	No S signatures on electronic version of the form
BR-21f	DOR: Injured Worker or Claims Administrator	<p>Can only be filed following receipt of EAMS case number. In addition to the form, only the following attachments will be allowed: Only those documents found in Cal Code Reg § 10233 (b)(1) – a single medical report or if the issue is non-medical, a single document, e.g. earnings, addressing the issue and which have not been filed previously. A rating MSC DOR may require more medical reports than noted above. Proof of service – which will include the S signature verification.</p>	See BR-10b

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BR-21g	DOR: Lien Claimant	<p>Can only be filed following receipt of EAMS case number. In addition to the form, only the following attachments will be allowed: Only those documents found in Cal Code Reg § 10233 (b)(1) – a single medical report or if the issue is non-medical, a single document, e.g. earnings, addressing the issue and which have not been filed previously. A rating MSC DOR may require more medical reports than noted above. Proof of service – which will include the S signature verification and 10770.6 verification if appropriate.</p>	See BR-10b
BR-21h	DOR Expedited: Injured Worker or Claims Administrator	<p>Can only be filed following receipt of EAMS case number. In addition to the form, only the following attachments will be allowed: Only those documents found in Cal Code Reg § 10233 (c)(1) – a single medical report or if the issue is non-medical, e.g. earnings, a single document addressing the issue not filed previously. Proof of service – which will include the S signature verification.</p>	

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Business Rule #	Business Rule Name	Business Rule Description	Business Rule Additional Information
BR-21i	DOR Expedited: Lien Claimant	<p>Can only be filed following receipt of EAMS case number. In addition to the form, only the following attachments will be allowed: Only those documents found in Cal Code Reg § 10233 (c)(1) – a single medical report or if the issue is non-medical, e.g. earnings, a single document addressing the issue not filed previously. Proof of service – which will include the S signature verification and 10770.6 verification if appropriate.</p>	
BR-21j	Lien	<p>Can only be filed following receipt of EAMS case number. In addition to the form, only the following attachments will be allowed: Itemized billing of charges – An itemized statement is preferred, but if only medical bills exist, all will be scanned in as a single multi-page document Proof of service – which will include the S signature verification and 10770.5 verification.</p>	