

SFTP BULK FILING QUESTIONS / COMMENTS / ISSUES

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	Essential Publishers, Inc.	Martin Dean	2/12/2010	<p>The pile of paper generated by all of the postings (so far) in this E filing project has now reached 6 inches in height – at least on my desktop it has. I also note that I have several documents that look to have the same title, but are not the same edition. I'd asked at the last meeting that documents get an edition number or date so we can tell the versions apart.</p> <p>It would also be wonderful to have all the documents in just one place, for obvious reasons, with just one poster, and many viewers.</p> <p>Jim Fisher in your office put together a swell example of this for the sub-committee that worked on the digital signature issues a few months ago. Why not take a look at that example, it was set up overnight – at no cost to the Agency?</p>	
CAAA		Linda Atcherley	2/12/2010	<p>I was on the call yesterday for the entirety of the call. It appeared to me that people still do not understand EAMS. The vast majority of people in that room and "programming" have never prepared nor filed any WCAB document either via electronic service into EAMS or via OCR. I know that EDEX has some familiarity and so do the Med-Legal guys. However, the programmers have no understanding of the system at all. I think that the following would be helpful to get people on the same page:</p>	<p>2/16/10 - Chuck - we did a brief presentation of a filing</p>

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				<p>1. Remind people that filing in EAMS either electronically or via OCR is governed by the regulations. This includes how you file, where you file and the sequence of papers that you file. The practitioners have all gotten some experience with this because we have to appear at the various District Offices and move the cases along, including conducting trials. No one in the “real world” would file a DOR without <i>first</i> have filed a lien or an Application for Adjudication of Claim to get a claim number. Even on walk through C&R and Stips, it requires that the case number be assigned <i>first</i> before the judge can issue the Order Approving the C&R. If we file a “walk through” electronically, the electronic version would have the case number assigned with the paper C&R/Stip behind it and <i>then</i> when walking through to the WCAB, the judge will have a case number assigned to put on the order.</p> <p>2. The same with liens. The lien claimants <i>first</i> file their liens. They can only file a DOR when the case in chief is concluded otherwise, they are precluded by regulation from doing so. They may file an amended lien with the DOR, but they certainly do not have to. By the time they file the amended lien, they have first filed the original lien. It is not hard to require that your “customers” that are filing liens, either state that they are already a party of record or that they are not and then proper order is followed.</p>	<p>2/16/10 - Chuck - we did a brief presentation of a filing</p> <p>2/16/10 - Chuck - we did a brief presentation of a filing</p>

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				<p>3. IT IS NOT POSSIBLE TO FILE A LIEN AND THEN FILE A DOR IN THE SAME "BULK FILING". This is because it takes up to two hours or more for EAMS to assign the case number for the case. Therefore, there should be at least a 24 hour window between the filing of a lien and the DOR or certainly, the person ought to get back some verification that they are associated with the case before they file the DOR.</p>	<p>2/16/10 - Chuck - we did a brief presentation of a filing - also, a lien cannot be a case opening document.</p>
				<p>4. How are you going to file via bulk file a DOR? Currently once you start the process in EAMS of "DOR" that requires that you select a date from one of two pull down menus. Are you now going to just return <i>one</i> date for the "bulk filers" and just get back the first available? Can you even do that? Expedited DOR's do not have that problem because you do not select a date, it just sets up a work queue for the presiding judge to get a date assigned and we just sit and wait.</p>	<p>2/16/10 - Chuck - Yes, the SFTP filed DOR will be assigned the first available date as done with OCR filed DOR or will return the error message "No suitable slot available"</p>

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				<p>5. "Bulk Filing" should be clear that this is a "present term" solution with the same limitations that the current EAMS system has for processing documents. Suggestions about a more perfect system with better protocols and adherence to web standards and international standards, complete error messages, to the extent that they cannot be done at this time should be reserved for the next step of the bulk filing system that will require bidding etc., and at that time <i>before</i>, a Request for Bid goes out, the business Requirements should be redone, updated, and clarified so that the next generation of EAMS performs without many of the user problems that are plaguing the system now.</p>	<p>2/16/10 - Chuck - This has been emphasized - note that complete error messages are being used in the present solution</p>
				<p>6. I <i>strongly suggest</i> that somehow a presentation of a real time submission of documents to EAMS be done through the "submitted stage" so that all can watch. An Expedited DOR would be the fastest to do and contains most of the elements that you need including the /s/ signature, case number etc. The attachment could be one medical report and a <u>proof of service</u></p>	<p>2/16/10 - Chuck - we could do this on a webex webinar</p>
				<p>7. I would also suggest that going through the CBT, if still up on the web be done by all because it is a very good walk through for the process of how filing is done in EAMS.</p>	

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				<p>8. Programming is one thing and filing electronically <i>or</i> OCR still requires adherence to the existing court rules of practice and procedure and you cannot simply program past the Labor Code and the Code of Regulations.</p> <p style="text-align: center;">With regard to Error Messages</p> <p>1. EAMS does not provide error messages <i>after</i> you submit, currently, the errors pop up when you try to submit and there are “fatal” errors which prevent submission. These are not the same errors which may cause a document to end up in the UDQ.</p> <p>2. You get a batch ID for the submission when you have a successful submission (this is not the same as processing). This does not mean that the document has processed properly. I find out that the document has been successfully entered into EAMS by logging into EAMS and seeing that the document is there or in the case of an application, I get a case number returned when I type in the date of injury for the applicant.</p>	

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				<p>3. The failure to have a social security number on an Application may cause the case to end up with the wrong name associated with the case. This happened to me when a case for "Tomas" Fernandez came up "Margaret" Fernandez when the EAMS Application clearly had "Tomas" for the name. So, while the SS # is "optional" it is not good to have a "successful" submission with the wrong applicant's name on it. This needs to be handled as well.</p> <p>4. The failure to process seems to land the document in the UDQ which is then "fixed" or not by the EAMS help desk. This is a manual process. How are you going to make this an electronic one? That is how is the fact that a batch failed going to be caught through the bulk method, and, once caught is it simply going to be deleted? Or what is going to happen to it?</p> <p>Maybe this is too long and beyond the scope, but I have spent many hours listening to everyone on the phone and off and we should not still be at the point where there is a fundamental misunderstanding of what the current EAMS case management and File net System does and is capable of doing and not doing.</p>	<p>2/16/10 - Chuck - This will occur and is a known issue. The external will receive the Notice of Application and will email the UDQ operator with the requisite information to correct the filing.</p> <p>2/16/10 - Chuck - The form and its attachments if any, will be deleted with notice in the Summary Error Report</p>
	eCandidus	Jose Gonzalez	2/13/2010	Doing some research I have found the following:	

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				<p><u>In 2000, President Clinton digitally signed into law the Electronic Signatures in Global and National Commerce Act (E-SIGN Act). This public law provides that:</u></p> <p>a signature, contract, or other record relating to such transaction may not be denied legal effect, validity, or enforceability solely because it is in electronic form; and (2) a contract relating to such transaction may not be denied legal effect, validity, or enforceability solely because an electronic signature or electronic record was used in its formation.</p> <p><u>At the state level, the Uniform Electronic Transactions Act (UETA), passed by 48 US States, provides much the same protections to electronic signatures and records. (The remaining 2 states have other legislation covering electronic signatures.)</u></p> <p>Note that neither piece of legislation specifies a particular electronic signature technology. In fact, the E-Sign Act states that:</p> <p>The term “electronic signature” means an electronic sound, symbol, or process, attached to or logically associated with a contract or other record and executed or adopted by a person with the intent to sign the record.</p>	

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				<p>By keeping the legislation technology-agnostic, the law doesn't create a bias and also does not have to be changed as technology changes. It therefore has the added benefit of allowing for a wide spectrum of electronic signature technologies (click-thru, signature pad, biometrics, digital signatures, etc), as long as the systems provide a signature that is "attached" to the electronic document needing to be signed, and provide evidence to the fact that the signatory actually signed the electronic document, showing an "intent to sign." The laws do prohibit the use of electronic signatures on certain legal documents such as wills and adoption papers, though.</p> <p>I have boldened the inclusion of signature pads. I believe that California is signatory to UETA. The key word is certain (also boldened). I would like to know which section of the code that you used to deny the use of signature pads, so I can pursue this further.</p>	
	EDEX Information Systems, Inc.	Julia Burns	2/15/2010	Use Case Comments	
				Attached please find my Use Case comments	
	Essential Publishers, Inc.	Martin Dean	2/15/2010	<p>With our extended discussion last week about the "real" meaning and purpose of a "use case" I became concerned that I had totally lost track of the process that we're engaged in. So here's my take on what's happening:</p> <p>General Goals:</p>	
					<p>2/16/10 - Chuck - the non-use of digital signatures applies only to this present solution - we fully intend to implement digital signatures in our future bulk filing approach</p>

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				<p>To develop a standard by which electronic documents can be bundled together and electronically delivered to the DWC server. In order to make this happen quickly, the best and easiest method by which to do this is to make our new "packet" look just like th</p> <p>General Tasks: Determine General Operational Rules By Which This Mirroring Can Be Designed To Include:</p> <ul style="list-style-type: none"> · The Current Business Rules for The Efiling Product · Related Statutory and Regulatory Requirements · The "External Requirements List" · New Business Rules (see attached for an example of established W3C compliant definition and implementation of Efiling Business Rules) <p>From These Rules We Can:</p> <ul style="list-style-type: none"> · Develop the Filing Schema using established W3C Best Practices & Standards · Develop the Agency Policy established W3C Best Practices, (what are currently many of the "Business Rules" e.g. all definitions) · Include SFTP interface requirements. · Develop an XML Packet Validation Service & Required Namespaces <p>What have I missed?</p>	

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	HANNA, BROPHY, MACLEAN, MCALEER & JENSEN, LLP.	Daniel Teklehaima not	2/16/2010	I gave CKV some suggestions as to how he should do the use cases to minimize confusion. Mentioning Actors is fine if he can manage to stay on the system activities as opposed to adding irrelevant project tasks. The actors can be stated separately or through interaction diagram, which I think will help him stay focused. For instance, UC-1 " EAMS notifies of outages based on availability rule " should not have been a use case, unless you plan to give us some sort of web service that we can use to check for system availability through authenticated service API call. As it stands with SFTP, UC-1 is irrelevant to the system we're trying to put together. It is just an action item or project task for DWC as opposed to a functionality for the SFTP bulk filing.	
	PEARLMAN, BORSKA & WAX	Ryan Hitchings	2/16/2010	I'm confused about the whole "trading partner" thing. Who is the trading partner? Is the user the trading partner? I apologize if this is a stupid question, but if you could provide some clarity, that would be much appreciated.	2/16/10 - Chuck - A trading partner is the entity (individual or an office) that has chosen to submit documents by SFTP