

## SFTP BULK FILING QUESTIONS / COMMENTS / ISSUES

Item Number	Submitting Organization	Submitted By	Date Submitted	<u>Question / Comment / Issue</u>	<u>Question / Comment / Issue Response</u>
	Chernow and Lieb	Carolyn McPherson	<b>2/17/2010</b>	<p>This is regarding the submission of a DOR. When an e-filer is preparing a DOR the only information they fill in is the ADJ #, the "Type of Hearing" and then click on "Select" for available hearing dates. At that point the e-filer is notified immediately that there is no available date. E-filers do not even submit the DOR for processing before they get that message. If they don't get the message the e-filer finishes completing the entire DOR with attachments then submits them. It is known before filing if there is an available date or not.</p> <p>With SFTP, if I understand it correctly, the entire DOR is completed including attachments and the <b><u>Proof of Service</u></b> and submitted in a batch. How long is it before the filer is notified that there is no suitable date? Would the DOR be deleted? Would having a queue for calendar dates make sense so the filer would not have to re-do the entire DOR/attachments?</p>	<p style="color: green;">2/22/20 - Chuck - This is correct for e-filers - when they are logged in, they are in Curam - the data entered for the DOR for available dates matches real time to the WCJ's availability - SFTP filers will not be in Curam and will not have this functionality</p> <p style="color: green;">2/22/20 - Chuck - Issue is still in Business Rules Parking lot</p>
	Essential Publishers, Inc.	Martin Dean	<b>2/17/2010</b>	<p>I am looking at the Spec table that you sent yesterday. There are letters in this (3<sup>rd</sup> column) that have no corresponding table that explains what they mean. What have I missed.</p> <p>Also the date or version number on the document is not included.</p>	
	EDEX Information Systems, Inc.	Julia Burns	<b>2/17/2010</b>	<p>In reference to Table 3.2.1 Acknowledgement, UC 10</p>	

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				<p>Judge Ellison directed to delete XML notification of new case number in order to prevent subsequent premature filings on the new case. It would be better to delete any subsequent filings on cases that were less than 10 days old, or whatever number of days satisfies regulations and procedures regarding the statutory number of days allowed for an Answer, etc. Intelligent validation could even base the number of days upon the address of the defense attorney and carrier, allowing more days as necessary.</p>	<p>2/22/20 - Chuck - Case Participants need to wait for receipt of the Notice of Application data mailer to obtain case number for subsequent filings.</p>
				<p>What data fields on the Application are used to determine which existing Injured Worker in EAMS is attached to a new case?</p>	<p>2/22/10 - Chuck - EAMS matches on IW last name, DOB and if provided, SSN</p>
				<p>What data fields on the Application are used to determine whether to create a new Injured Worker listing to attach to a new case?</p>	<p>2/22/20 - Chuck - EAMS matches on IW last name, DOB and if provided, SSN</p>
	State Fund	Joshua Bright	2/17/2010	<p>This is in connection with § 4 of the EAMS Present Term Solution Technical Specifications document, version 1.1, that was the subject of the meeting this past Tuesday, 2/16. State Fund would appreciate additional details. The introductory sentence says, "EAMS present term solution uses industry standard XML Layout structures to define data streams for sftp bulk filing solution." Which industry standard XML Layout structure is being contemplated? Additionally, what, if any, is the relationship between the DWCPacket Layout and the contemplated XML layout? (Or, am I mixing apples &amp; oranges?)</p>	

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				<p>State Fund hopes that the adopted XML layout is the 2GEFS standard promulgated by the California Administrative Office of the Courts, a unit of the California Judicial Council. (“2GEFS” is the shorthand description of the California “Second Generation Electronic Filing Standards”.) For State Fund and the many other participants in the California workers' compensation community that are also involved in the California Superior Courts, adoption of this standard would result in a number of efficiencies. These include having to maintain just one schema, simplifying deployment of system enhancements, and being able to leverage products from vendors that already have a suitable 2GEFS application program interface, (“api”) built and available for licensing.</p> <p>It should also be anticipated that the adoption of the 2GEFS standard will, in the future, benefit the WCAB. Given the adoption of the 2GEFS standard by the Administrative Offices of the Court, it can reasonably be anticipated that the Board will, at some point in the future, be able to file its record in the Court of Appeal electronically using the 2GEFS standard.</p> <p>Even though § 4 of the EAMS Present Term Solution Technical Specifications document speaks in terms of the present term solution project, given the foundational nature of an XML layout, it would seem very unlikely that an XML layout adopted now would be something that would be changed in the course of the contemplated future phases. So, it is hoped that the DWC will adopt an enduring and widely accepted XML layout at this time.</p>	

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	State Fund	Joshua Bright	2/17/2010	<p><b>Requirements Terminology Document:</b> I note that the definitions for "Digital signature", "Electronic signature" &amp; "Wet Signature" are still blank. With that said, I appreciate the importance of the first two being included within the terminology document as I believe they clearly are not a "signature" as that term is used within the pertinent regulations. (I will be happy to provide my proposed definitions of the two terms again, if that will assist you.)</p> <p>However, given that the regulations do not specify "wet signature" but only use the term "signature", I propose we remove "wet signature" from the terminology document. If a substitute is desired or deemed appropriate then I suppose "signature" should be in the document. If that is the case then I would also propose that the following definition be included (with or without the citations):</p> <p>Signature: The affixing of a name or mark to a writing with intent to authenticate the writing as one made or put into effect by that person. (From Ballentine's Law Dictionary, 3rd ed., 1998 Lexis Law Publishing, a division of Reed Elsevier, plc. See also Black's Law Dictionary (8th ed. 2004) West, a Thomson business; and "Sign" Merriam-Webster Online Dictionary. 2010.)</p>	<p>2/22/10 - Chuck - Digital and Electronic Signatures are not part of the Present Term Solution - a "wet" signature is an actual signature by the person who is to sign the document</p> <p>2/22/10 - Chuck - We will keep it as a "wet" or actual signature so as to prevent any confusion.</p> <p>2/22/10 - Chuck - Thank you, but "affixing" could potentially include digital signatures which are not allowed.</p>
	State Fund	Katherine Borlaza	2/18/2010	<p><b>Page 8: 2.3.1 Overview SFTP Flow Diagram</b></p> <ul style="list-style-type: none"> <li>- What is the function of the holding tank? Per the diagram, some data goes to holding tank while others go directly to Curam DB?</li> <li>- Our understanding is that If the error comes from pre batch level 1 or 2, there is not yet a batch ID assigned. If it comes from post batch level 3, we understand there is batch ID assigned.</li> </ul>	

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				<p>Will the way trading partners resubmit a transaction be different depending on what type of error is identified ?</p> <p>- Will DWC close the EAMS batch every 15 days from lodge date or received date? If yes, do we create a new transaction if we cannot successfully re submit within that time frame ?</p> <p><b>Page 9 3.1 Present Term Requirements</b></p> <p>- Req #4 Would just like to clarify if the summary will be for all errors in a <i>transaction</i> or summary for all errors in a <i>transmission</i> (which has multiple transactions)?</p> <p>- Req #11 Is this 15 calendar or business days?</p> <p>- Req #14 Are we replacing the physical cover sheet and separator sheet with the data header? Per CKV's document/diagram dated 2/11/10 ( see attached PDF) each transaction will have a coversheet. However, the requirement says the cover and separator sheet will be replaced.</p> <p>- Rep #21 Does this requirement need to be amended? Our understanding is that amended liens are not going to be allowed at this time.</p> <p>- Req #22 What does under seal mean?</p> <p>- Req #38 Who are the 3rd party filers?</p> <p><b>Page 11 EAMS Business Use Cases List</b></p> <p>#42- Is this the same requirement as on page 10, req #20?</p> <p>#59- Should it say transmission packet instead of transaction package?</p>	<p>2/22/10 - Chuck - Reg 10222 (a)(2) - Business Days 2/22/10 - Chuck - Yes</p> <p>2/22/10 - Chuck - Cannot file amended liens - all must be filed as original until further notice 2/22/10 - Chuck - No one other than a case participant can see or get a copy of the document(s) 2/23/10 Joel - add; "as ordered by the judge"</p> <p>2/22/10 - Chuck - Those that file documents on behalf of others - a TPF is not a case participant</p>

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				<p>#71n- Will this feedback be housed in the acknowledgement (referenced in #42) to the trading partner?</p> <p>#69- Please explain what this requirement means.</p> <p>#3- Does this mean that all forms must be e signed if we are a participant?</p> <p>#14e- Do all attachments need to be pdf format?</p> <p><b>Page 12</b></p> <p>#15d- What are the pre processing business rules referenced here?</p> <p>#28- Is this requirement talking about a resubmission? If this is referring to a trading partner, how can we assure we "only file things that will be processed without error" ?</p> <p><b>Page 19 Figure 4.1 DWC Packet Layout</b> What is a Packet Exception?</p>	
	HANNA, BROPHY, MACLEAN, MCALEER & JENSEN, LLP.	Daniel Teklehaimanot	2/18/2010	<p><b>Requirements Terminology Document:</b> You may want to add the term DTD (Document Type Definition) to the document. DTD institutes the formatting and rules for the XML structure. Once we've the final XML structure defined, the document you publish to your users is DTD, which they need to run their XML against to make sure they comply to the rules and formats.</p>	
	HANNA, BROPHY, MACLEAN, MCALEER & JENSEN, LLP.	Daniel Teklehaimanot	2/18/2010	<p>Didn't we agree to add the DOR resubmission request to parking lot? Your current requirement states DOR will be rejected if a court date is not available in the next 30 days. We've asked for DWC to keep the DOR in pending state until a date is available rather than reject it. Can you please add this to parking lot?</p>	
	eCandidus	Jose Gonzalez	2/18/2010	<p><b>1) Appendix E XLS Worksheet:</b> How does this map to the XML schema?</p>	
					2/22/10 - Chuck - See the Business Rules - sequencing

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### 2) Column

Forms Section - What is the schema equivalent of this column. Note that tags cannot contain spaces.

EAMS Forms Field Names - SAME

Validation rules - It would be nice if the fields mentioned had some reference to the XML tags.

[Datatype - Use XML standards \(what is a checkbox?\)](#)  
[see http://www.w3.org/TR/xmlschema-2](http://www.w3.org/TR/xmlschema-2)

### 3) Overall

Date fields should follow standards [see](#)  
<http://www.w3.org/TR/xmlschema-2/#date>

### 4) Section 4.1

What is the technical difference between the SFTP file transferred acknowledgement and EAMS response #2?

### 5) Section 4.1.1

Transaction ID - The idea behind XML is to get away from fixed length fields. Separate any required fields (like submitter id) to its own tag. Transaction ID should be alphanumeric characters only, as if it is used as file name, some OS's may not want special characters. Sequence numbers work fine on a centralized system, but fail when creation of the XML packets are decentralized.

This rule should apply to any ID.

### 6) Section 4.1.3

How do you correlate this to original file? Don't you need TransactionID/etc info?

### 7) Section 4.2

PayloadSchema - Schema should be external to packet. Why are exceptions here? Why not a payload type?