

EAMS ACCESS PROJECT
External Access Requirements Definition
Agenda & Meeting Minutes

Project:	EAMS ACCESS SFTP SOLUTION
Meeting:	EAMS Access SFTP Solution Technical Requirements Meeting

Date-Time-Location:	March 11, 2010 1:00PM – 4:00PM Alice Hamilton Room, 18 th Floor
Invitees:	Andrea Coletto, Brenda Ramirez, Brian Schwabauer, Camilla Wong, Carolyn McPherson, Dale Clough, Dan Jakle, Danny Teklehaimano, Denise Spelzini, Denise Yip, Dr. George Rothbart, Eric Knight, Gary Gallanes, Gina Gariitson, Jake Greenwell, Joel Hecht, Jose Gonzales, Joshua Bright, Julia Burns, Justin Geiger, Katherine Borlaza, Kim Lincoln-Hawkins, Linda Atcherley, Lorie Kirshen, Marc Glaser, Margo Hattin, Martin Dean, Matt Herreras, Oleg Katz, Paul Defrances, Pete Harlow, Renee Sherman, Richard Brophy, Ron Weingarten, Ryan Hitchings, Sandy Trigg, Sean Blackburn, Steve Cattolica, Tara Lewis, Yvonne E. Lang, CKV Sa, Talat Khorashadi, Robert Gilbert; Dave Cohen; Dan Jakle; Jose Gonzales; Denise Yip; Illicena Elliott; Susan Ambriz; Eric Knight; Jake Greenwell; Danny Teklehaimano; Beatrice Yao; Ryan Hitchings; Denise Spelzini; Felicia Black; Amit Khosla; Paul Defrances; Lorie Kirshen; Ritzesh Sawhney; Peter Melton; Sam Morris; Sivakumar Ponnuswany
Optional Attendee:	
Facilitator / coordinator:	Susan Gard
Meeting Minutes taken by:	Janet Tsao
Next scheduled meeting:	Mar. 18, 2010 1:00PM – 5:00PM Room 9, 2nd Floor

03/11/10 Meeting Objectives:	Finalize web access business rules, discuss SFTP business rules and security standards for SFTP
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Proposed Agenda 03/18/10		Time	Duration	Owner
1.	Open meeting: Review previous meeting minutes	1:10		Robert Gilbert
2.	Review submitted Questions/Comments			Robert Gilbert
3.	User account business rules			Susan Gard
4.	DOR queue business rules			Susan Gard
4.	Trading partner agreement			Susan Gard
5.	Break		10	
6.	Finalize SFTP business rules			Chuck Ellison / Joel Harter / Susan Gard

03/18/10 Meeting Objective:	Finalize SFTP business rules
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1.	<p>Open meeting: Review previous meeting minutes</p> <p>Participants agreed to accept minutes of March 3 session and dispense with reading of the minutes.</p>	Susan Gard
2.	<p>Review submitted Questions/Comments</p> <p>Business rules questions will be put on the standard questions and comments format and will be posted on the forum.</p>	Susan Gard
3.	<p>Review final Web access business rules</p> <p>In order to prevent use of BOTs, Eric K recommends captcha be used as an added security measure. DIR IS will look into this.</p> <p>BR-3B: change case participant search field to case participant information search. Case info search includes hearing set, case events, etc.</p> <p>Change pre-employment field to post offer pre-employment.</p> <p>Searches for post offer pre-employment screening will be redirected to Public Records Act request Web page.</p> <p><u>Case events for Web access</u></p> <p>There are a lot of EDEX codes that are not listed on the list. We are not contemplating revising EDEX in this process. Web access will offer basic tools for practitioner and is not intended to replace EDEX.</p> <p>C&R approved is a separate event and addressed as CE-17.</p> <p><u>6 months bounding rule</u> When items are filed they are bounded by 6 months. When settled they are not bounded.</p> <p>Proposed order is bound by 6 months, but the settlement is not.</p> <p>Order setting aside C&R CE-25, 26, 27: subject to 6 mo. restriction but recommend it should not. DWC will revisit.</p> <p>CE-39, 40: stip award file should not be bounded by 6 mo. DWC agrees</p> <p>CE 40: One page stip, not a form, is the item which is filed and bound by 6 mo.</p> <p>Provide comments and questions on case events to DWC by 10am on March 15.</p>	Susan Gard

4.	<p>Review and discuss security standard for SFTP filing - Security and account management</p> <p>Jim Wang, DIR IS security.</p> <p><u>Application security</u> Encrypts data in flight and at rest.</p> <p>Does it support ASII protocol? Will enable State Fund serve to/from directly to EAMS server.</p> <ul style="list-style-type: none"> - At this time, SFTP is supported. - Will support SSL certificate. - Before file is sent to EAMS, it is encrypted. If someone cracks the server, they will not be able to get to the file. <p><u>Infrastructure Security – OTech security standard</u> All public SFTP server reside in the DMZ, ie EAMS access. DMZ is public facing.</p> <p>Encrypted twice: once through SSH and once through AES. Present term solution will pick up file after AES encryption.</p> <p>JAVA will support AES encryption. WINZIP (software) will also support AES encryption.</p> <p>MOVEit Freely is an open source encryption service that may be downloaded free. Requires fire wall change on external user side.</p> <p>PTS will generate a key to trading partners as part of the registration. DWC will provide user name, password and key.</p> <p>External partners are not required to submit an IP address.</p> <p>External partners will need to encrypt and decrypt the files. DWC will send symmetric key that will encrypt and decrypt files.</p> <p>SFTP encryption is automated through SFTP software.</p> <p>Part of OTech infrastructure is a proxy server that will prevent denial of service.</p> <p><u>User account management</u> DWC is drafting the trading partner agreement language, and will publish soon. Once trading partner agreement signed, DWC will establish user account.</p> <p>There will be three trading partner agreements:</p> <ol style="list-style-type: none"> 1. Discreet filers who are case participants, create their transmission code and transmit files only on behalf of themselves (such as State Fund, Hanna Brophy, etc.) 2. Third party filers who are not case participants but who file on behalf of case participants 3. Software providers who provide software to case participant end users. 	<p>Jim Wang / Susan Gard</p>
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	<p>The end users of third party filer will also need to sign agreement with third party filer that binds them to DWC filer rules in trading partner agreement</p> <p>Software providers will sign a trading partner agreement.</p> <p>Discreet users will sign trading partner agreements with DWC.</p> <p>Accounts and password are non-expiring until / if trading partner agreement dissolves. If trading partners want to change password, then DWC will work with trading partners.</p> <p>External partners may consider locking down IP address on their end.</p> <p>DWC will establish and publish the hours of operation for password reset. DWC will consider automating password reset process.</p> <p>DWC will accept questions and comments before 10am on March 15.</p>	
<p>5.</p>	<p>Discuss SFTP business rules</p> <p>Questions / comments on business rules are published in question / comments document. The applicable modification to business rules are then added to the SFTP business rules.</p> <p>BR-10: added BR-10b and B-10d Will preserve original filing date.</p> <p>BR-10a: Cannot file dependent form in the same transaction.</p> <p>BR-10b: will create DOR pending queue. This creation will add 30 days to the development timeframe. This queue is only for SFTP filers, not E-forms or OCR forms.</p> <ul style="list-style-type: none"> - If no suitable slots are available, then will end up in the queue. - If no slot in queue, will it be dropped from queue? Please give DWC recommendations. - Will items in the queue have priority of dates over new filing? No decision has been made. DWC welcomes recommendation. <p>BR-11: rule pertains to case opening documents. State Fund will address UAN reference numbers. (Parking lot issue.)</p> <p>BR-11b: If third party vendor is filing on behalf of the client, then the client's NOR (notice of representation) need to be on file with DWC.</p> <ul style="list-style-type: none"> - Only a case participant can file a non-case opening document. DWC will provide citation on this rule. - If lien claimant is filing themselves without representation, then no need to file NOR. - Error file will state not a case participant. <p>BR-12: DOR form does not need a wet signature. S signature verification will need a wet signature.</p>	<p>Chuck Ellison / Joel Harter</p>

	<p>DWC will continue research on wet signature requirements, and may enter discussions with WCAB.</p> <p>BR-19: SFTP is the preferred portal and vendor is not precluded from E-filing / OCR filing. Vendor or client may choose to file by any of the three available methods.</p> <p>Proceed with S signature verification for now. To change this requirement will need WCAB involvement and approval.</p> <p>The challenge also applies to wet signature for proof of service. The actual signed document is in the filing office.</p> <p>Concern about authenticity of signature, when it is not a wet signature.</p> <p>Future gateway, DWC wants to use digital signature. We're looking for a present term solution until / if we can use digital signature.</p> <p>DOR – is not under penalty of perjury? Why then do we need have wet signature? DOR is signed under penalty of perjury that parties have attempted to resolve the issue.</p>	
<p>6. Next steps</p>	<p>DWC wants final sign-off on the following.</p> <ul style="list-style-type: none"> - Web access business rules - SFTP business rules <p>Next meeting (3/18): trading partner agreements, user account business rule, DOR pending queue business rules. DWC will update milestones.</p> <p><u>Outstanding issues</u></p> <ul style="list-style-type: none"> - wet signature (Judge Harter is working on this) - DOR pending queue. DWC will write business rules for DOR queue. <p>Comments on case events, security, biz rules for DOR queue comments by March 15.</p>	