



JET File Business Rules

and

Technical Specifications - V4.0

(Formerly Called: EAMS Present Term Solution (PTS))

Department of Industrial Relations
Electronic Adjudication Management System

Effective January 1, 2013



**EAMS Application
Development and Maintenance**



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PART I. JET FILE BUSINESS RULES

BR-# Business Rule [BR] Name	Business Rule Description	Business Rule Additional Information
BR-01 EAMS Hours	JET File submission shall be done within the following hours only: Monday – Wednesday 4:30 a.m. – 7:30 p.m. Thursday 4:30 a.m. – 5:30 p.m. Friday – Saturday 4:30 a.m. – 7:30 p.m. Sunday Closed.	The submission times are subject to change - DWC will advise of new start and/or stop transmission time(s) - Submission times have been modified effective 6/16/2011
BR-02 Filing Date	Any document submitted after 5:00 p.m., or on a holiday, Saturday or furlough day, and if processed without error is deemed filed as of the next business day. 8 Cal Code Reg § 10230.	
BR-03 JET File Contact	The submitter will identify in the JET File agreement a primary and alternate contact person per submitting location and separate email addresses for each. Only these persons may contact the JET File DWC administrators. These contacts will also receive notices of planned outages.	See BR-04, BR-12b
BR-04 Notificatio n of Planned Outages	DWC will follow its existing method of notice. That is, email notice will be provided to the JET File primary and alternate contacts. Notification of planned outages will be sent from the EAMS Command Center (CC) through the Central Registration Unit (CRU) and from CRU to the JET File contact.	See BR-03
BR-05 Transmiss ion Code Validation	All JET Filers must conduct transmission code testing and receive validation from DIR of their code and upon receipt of validation, their code must be frozen. Any change to JET filer code requires re-validation before filing can continue.	JET Filers not creating their own transmission code must use code that has been validated by DIR.
BR-05a Validation Prior to Submissio n	The JET File submitter must validate the XML to the mandatory field requirements set forth in the form/field spreadsheet.	Software must be programmed to validate the data against the published XSDs prior to submission. See BR-10

BR-06 DWC Business Rule and DIR OIS Compliance	Failure to follow DWC business rules and/or DIR Office of Information Services (OIS) requirements may result in revocation of JET Filer's ability to JET File.	
BR-07 JET File Agreements	A completed JET File agreement must be on file with DWC prior to submitting via JET File.	
BR-08 Forms that may be JET Filed	Only the following seven (7) forms and their appropriate attachments may be JET Filed: Application for Adjudication of Claim (Application) Declaration of Readiness to Proceed (DOR) Declaration of Readiness to Proceed to Expedited Hearing (DOR Exp) Notice and Request for Allowance of Lien (Lien) Compromise and Release (C&R) Stipulations with Request for Award (Stips) EDD Golden Rod Lien	See BR-25
BR-09 Format of Attachments	The only document formats for attachments are: <u>PDF/A1-a</u> , .TIFF, .DOC, .XLS. Forms submitted with documents in any other format will be deleted with the appropriate error response sent	
BR-10 Data Elements, Validations and Business Rules for JET Filing	DWC will provide and also publish on its Web site a spreadsheet identifying the fields for each of the seven (7) JET File forms, and whether they are mandatory, conditionally mandatory and/or optionally required for capture in EAMS.	See BR-05a
BR-10a	DWC will post BR-10 spreadsheet on its Web site and DWC alone is responsible for maintaining same. If changes are made to the published version they will be emailed to JET File contacts and the updated changes will be listed on the published version on the Web site.	
BR-11 Electronic Filing Exemption	8 Cal Code Reg § 10229. Any OCR filed documents must follow the OCR filing regulations.	

BR-12 Deletion of Forms and Attachme nts	The entire form and its attachments will be deleted and the notice of discrepancy in the form of an error response will be transmitted to comply with 8 Cal Code Reg § 10222(a)(2) if the form or any of the attachments contain errors such that it will not successfully process into EAMS.	
BR-12a	If more than one form is submitted in a transaction, and one is invalid, only the invalid form and its attachments will be deleted. The valid form(s) and attachments will be processed and the success response will be sent.	The deleted form can be resubmitted once the errors have been corrected.
BR-12b	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 in Excel format and submit this information in only one (1) email per day to the designated DWC JET File administrator, 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 refiled.	See BR-03
BR-12c	The filing date for deleted forms is governed by 8 Cal Code Reg 10222(a)(2).	Use of the resubmit ID will set the filing date as of the original submission date if the form is resubmitted within 15 business days of the error response that provides the resubmit ID
BR-13 DOR Queue	DOR – If the error message “No suitable slot available” is issued, the DOR and any attachments will be held in the DOR queue.	
BR-13a	DORs will be placed in this queue when there are no available slots for the type of hearing requested.	
BR-13b	DORs will be added to the queue chronologically and maintained in date submitted order.	
BR-13c	DORs will be re-processed from the queue in date submitted order once per business day during the first batch process of the day only.	

BR-13d	DORs will remain in the queue for up to fourteen (14) calendar days, being re-processed with the first batch each day the batch process runs. For those DORs still in the queue after fourteen (14) calendar days, the DWC primary and/or alternate JET File administrator will contact the district office(s) to have them either open hearing slots and/or change the case owner (WCJ), following which the DORs will be re-processed in the next available batch.	
BR-13e	The DWC primary and/or alternate JET File administrator will continue to work with the district office(s) for up to five (5) calendar days to successfully re-process the still pending DORs. Should a DOR not successfully process in this time frame, the DOR will be deleted and the submitter notified with a recommendation that the filer submit an OCR paper DOR or eform DOR.	
BR-14 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 have 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-14a	A lien claim has to be successfully filed before a lien claimant or its representative's office can file a DOR requesting a lien conference.	
BR-14c Forms that can be Submitted in a Single Transaction	<p>A single transaction is for one (1) case.</p> <p>When filing a case opening Application, Stips, or C&R, only that form with its attachments can be filed in a single transaction.</p> <p>When there is already an existing case number, a single transaction can include a C&R or Stips, along with one DOR for the same case.</p> <p>When filing a DOR Expedited, only that form with its attachments can be filed in a single transaction.</p> <p>In a single transaction, an unlimited number of lien claimants may file liens in the same case.</p> <p>In a single transaction, liens may only be filed in</p>	Lien claim example: ABC Medical Clinic, XYZ Transportation, John Bonecutter MD all use the same lien claimant representatives' office which is a JET File submitter. All 3 of these lien claimants provided services in 1 case - ADJ123456 - all 3 liens can be filed in 1 transaction.

	one case.	
BR-16 S Signatures	S signatures may be used on the following forms: Application, DOR, DOR Exp, Lien, 10770.5 and 10770.6 verifications as well as any proof of service. The S signature shall be rebuttably presumed to be that of the individual whose name is on the document signature line when the document is filed using the JET Filer's name, user ID and password.	S signature verification is NOT required.
BR-16a	S signature must be in the format: S FIRSTNAME LASTNAME: e.g. S JOHN JONES.	
BR16b	An S signature shall not be used on a document requiring a wet/actual signature.	
BR-16c	The rebuttable presumption will apply to documents signed with an S signature and filed through a JET File third party filer (TPF) only if the name of the individual so signing is set forth in the TPF's client list.	
BR-18 Wet/Actual Signatures	The following documents will require actual wet/actual signature(s) be used: Scanned in signed settlement documents.	The documents requiring a wet/actual signature are attachments to the specific form to which they apply.
BR-19 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.	
BR19-a Lien Claims - No Companion Cases	A separate lien claim must be filed in each case. Do not list companion cases.	Although the lien itself will be added to FileNet, neither the lien claimant nor lien claimant representative (if listed) will be added to the case participants in companion cases.
BR-20 Documents Under Seal	Any such document(s) must be filed OCR. The presiding judge (PJ) must make determination. 8 Cal Code Reg § 10272.	
BR-22 OCR Filing by JET Filer	A JET Filer is encouraged to file the forms available in JET by JET File only. However, OCR paper or eform filing is allowed.	

BR-22a	A JET Filer may file by OCR paper the settlement documents prepared at the district office at the time of a hearing.	
BR-22b	JET Filers may submit walk through documents by JET File.	
BR-22c	JET Filers cannot file by JET File an Amended Application, a Death Application, a C&R Dependency, Stips Death, Third Party C&R, DOR or DOR Expedited for a satellite district office. These must be filed by OCR paper or via e-form.	
BR-23 JET File Third Party Filer (TPF) Filing Method	A TPF may file using any of the means for which it is authorized. A JET File TPF has chosen JET File as its means of filing the JET forms. If a client of a TPF wants the TPF to file on its behalf, the TPF is encouraged to file by JET File. The client does not always thereafter have to file only through the TPF. The client can always file in any manner for which it is authorized.	
BR-23a	The TPF must provide a list of clients and their clients' authorization as provided in the JET File Agreement.	
BR-24 JET File Office/Ind ividual - Discrete Filer Filing Method	The office/individual has chosen JET File as its means of filing the JET forms and is encouraged to only use JET File to file them, but may file in other formats.	This pertains to the discrete JET Filer.
BR-25 Form Packages	Submission of a form must comply with other regulations regarding completion of fields and filing. The format of the document will use existing business logic as follows in BR-25a-j.	-
BR-25a Applicatio n: Injured Worker or Represent atives' Office for Same	In addition to the form, only the following mandatory attachments will be allowed: 4906(g) declaration – if more than one, all scanned in together as a single multi-page document Fee disclosure statement Venue verification Proof of service	

<p>BR-25b Application: Claims Administrator or Representatives' Office for Same</p>	<p>In addition to the form, only the following mandatory attachments will be allowed: 4906(g) declaration – if more than one, all scanned in together as a single multi-page document Proof of service</p>	
<p>BR-25c Application: Lien Claimant or Representatives' Office for Same</p>	<p>In addition to the form, only the following mandatory attachments will be allowed: 4906(g) declaration – if more than one, all scanned in together as a single multi-page document 10770.5 verification Proof of service</p>	
<p>BR-25d C&R</p>	<p>Attachments: If the C&R is a case opening document or case opening with companion case(s): 4906(g) - optional Scanned in wet signed C&R - mandatory Proof of service - mandatory If the C&R is on an existing case: Scanned in wet signed C&R - mandatory Proof of service - mandatory Additional non-mandatory attachments: 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. NOTE: a C&R can have no greater than one (1) unassigned case but can have one (1) or more existing companion cases</p>	<p>No S signatures on electronic version of the form. If you are submitting a C&R with one (1) case opening and with one (1) or more existing companion cases, the unassigned case opening is to be listed in the XML first with the companion case number(s) entered in the appropriate section</p>

<p>BR-25e Stips</p>	<p>Attachments: If the Stips is a case opening document or case opening with companion case(s): 4906(g) - optional Scanned in wet signed Stips - mandatory Proof of service - mandatory If the Stips is on an existing case: Scanned in wet signed Stips - mandatory Proof of service - mandatory Additional non-mandatory attachments: 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. NOTE: a Stip can have no greater than one (1) unassigned case but can have one (1) or more existing companion cases</p>	<p>No S signatures on electronic version of the form. If you are submitting a Stips with one (1) case opening and with one (1) or more existing companion cases, the unassigned case opening is to be listed in the XML first with the companion case number(s) entered in the appropriate section</p>
<p>BR-25f DOR: Injured Worker, Claims Administrator or Representatives' Office for Same</p>	<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 - mandatory.</p>	<p>See BR-13</p>
<p>BR-25g DOR: Lien Claimant or Representatives' Office for Same</p>	<p>A DOR for a lien conference requires confirmation of payment for filing lien claimant unless lien does not have to pay or is exempt. 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. 10770.6 verification mandatory Proof of service - mandatory. Confirmation of payment - optional</p>	<p>See BR-13</p>

<p>BR-25h DOR Expedited: Injured Worker or Claims Administr ator or Represent atives' Office for Same</p>	<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 - mandatory.</p>	
<p>BR-25i Lien: Lien Claimant or Represent atives' Office for Same</p>	<p>Can only be filed following receipt of EAMS case number. Unless lien is exempt under 4906(b) or does not have to pay under other subsections of 4906, new liens filed after 1/1 2013 shall include \$150.00 payment information. If required, payment or confirmation of payment shall be included with lien. Unless lien is exempt under 4906(b) or does not have to pay under other subsections of 4906, as of 1/1/2013, liens filed before 1/1/2013 shall be activated by \$100.00 payment through the public information search tool: before filing a DOR for lien conference, before appearing at a lien conference, or by 1/1/2014 whichever occurs first. Confirmation of activation need not be filed unless requested by a judge. In addition to the form, only the following mandatory attachments will be allowed: 10770.5 verification - mandatory Proof of service - mandatory 4903.8(d) Declaration - Mandatory 4903.8(a)(b) Assignment - Optional</p>	<p>Payment requirements added per SB863 2012.</p>
<p>BR-26 Legacy Forms</p>	<p>No legacy forms will be accepted.</p>	
<p>BR-27 DWC Pending Queue</p>	<p>JET Forms, with their attachments, that are otherwise error free but are unable to be processed due to EAMS system issues, will be placed in the DWC Pending Queue.</p>	

BR-27a	The DWC JET File administrators will work with the DIR administrators to resolve the EAMS system issue for up to five (5) business days and if resolved, to re-process the form. Should a form not successfully process in this time frame, the form will be deleted and the submitter notified with a recommendation to submit the form via OCR.	
BR-28 Printed Form Format	Forms printed by the submitter must match the format of the existing DWC and WCAB forms	
BR-29 DOC TYPES and DOC TITLES	Only those external DOC TYPES and DOC TITLES found on the Excel version under the Document Separator Sheet on the DWC Web site can be used.	
BR-29a DOC TYPES and DOC TITLES for Mandator y Attachme nts noted in BR- 25a-i	4906(g) LEGAL DOCS - 4906(g) DECLARATION Fee Disclosure Statement LEGAL DOCS - FEE DISCLOSURE STATEMENT Venue Verification LEGAL DOCS - VENUE VERIFICATION Proof of Service LEGAL DOCS - PROOF OF SERVICE 10770.5 Verification LEGAL DOCS - 10770.5 VERIFICATION 10770.6 Verification LEGAL DOCS - 10770.6 VERIFICATION Scanned in signed C&R or Stips LEGAL DOCS – CONFIRMATION OF PAYMENT LEGAL DOCS – 4903.8(d) DECLARATION LEGAL DOCS – 4903.8 (a)(b) ASSIGNMENT	
BR-30 Date Fields	GMT offset must be removed from XML files on all date fields. Failure to do so will result in a Level 2 error response and the form will be deleted.	The GMT offset may result in an incorrect date

<p>BR-31 Forms Subject to Statute of Limitation - Jurisdictional Time Limit</p>	<p>JET Filers shall avoid submission of time sensitive forms and/or documents on the last day of any applicable statute of limitation or jurisdictional time limit. JET Filers shall be responsible for ensuring that any time sensitive forms and/or documents they file clear all first level validations within the time frames of any applicable statute of limitation or jurisdictional time limit. If you must submit such a time sensitive form and/or document on the last day of the applicable statute of limitation or jurisdictional time limit, submission shall be in OCR paper format.</p>	<p>Level 1 errors do not return a resubmission ID as a level 1 error is not tied to a specific form.</p>
<p>BR-32 Lien Filing Fee</p>	<p>Can only be filed following receipt of EAMS case number. Unless lien is exempt under 4906(b) or does not have to pay under other subsections of 4906, new liens filed after 1/1 2013 shall include \$150.00 payment information. If required, payment or confirmation of payment shall be included with lien.</p> <p>In addition to the form, only the following mandatory attachments will be allowed: 10770.5 verification - mandatory Proof of service - mandatory</p> <p>4903.8(d) Declaration - Mandatory 4903.8(a)(b) Assignment - Optional</p>	<p>Payment requirements added per SB863 2012.</p>
<p>BR-33 Lien Activation Fee</p>	<p>Unless lien is exempt under 4906(b) or does not have to pay under other subsections of 4906, as of 1/1/2013, liens filed before 1/1/2013 shall be activated by \$100.00 payment through the public information search tool: before filing a DOR for lien conference, before appearing at a lien conference, or by 1/1/2014 whichever occurs first. Confirmation of activation need not be filed unless requested by a judge.</p> <p>In addition to the form, only the following mandatory attachments will be allowed: 10770.5 verification - mandatory Proof of service - mandatory</p> <p>4903.8(d) Declaration - Mandatory 4903.8(a)(b) Assignment - Optional</p>	<p>Payment requirements added per SB863 2012.</p>

PART II. JET FILE TECHNICAL SPECIFICATIONS

1 Introduction

The JET File system was created to electronically process forms and minimize or eliminate the need for manual filing. JET Filing reduces the overall volume of processed paper. It benefits all users as well as the State of California.

1.1 Purpose

The purpose of this document is to provide JET filing specifications required for both EAMS and submitters' systems.

1.2 Scope and Process

The scope of this document is limited to identifying JET filing technical requirements. Business rules for JET filing ([Appendix D](#)) are incorporated into this document. Error codes and error messages ([Appendix E](#)), and XML schema documentation ([Appendix E](#)), can be found at the links at the end of this document. This document also contains detailed system design artifacts such as use cases and class diagrams.

JET Filers have three ways to use this service. Filers can:

(1) Purchase or rent software from an approved vendor that allows them to JET File directly http://www.dir.ca.gov/dwc/EAMS/JetFiling/EAMS_JetFileVendorList.html , or

(2) Use a third party filer to transmit on their behalf http://www.dir.ca.gov/dwc/EAMS/JetFiling/EAMS_JetFileVendorList.html , or

(3) Build their own transmission process using the technical specifications published by DWC http://www.dir.ca.gov/dwc/EAMS/JetFiling/EAMS_JetFileDevelopers.html .

- When building own transmission process using technical specifications published by DWC, user must request a validation test. The request should be sent by email to JET@dir.ca.gov with "application to test JET File transmission code" in the subject line. Testers should make the request only after all development is completed and all that is left is validation of the code.
- Third party filers (TPFs) have one more requirement: They must submit a second client spreadsheet with a list of all clients for whom they will JET File (http://www.dir.ca.gov/dwc/EAMS/JetFiling/EAMS_JetFileDevelopers.html) . The list must include each client's name, uniform assigned name and EAMS reference number (if applicable), mailing address (and physical address if different), phone number and a client contact first and last name and email address. Each client must also sign an authorization form allowing the TPF to file on their behalf.

JET Filers are required to complete and submit the required JET File agreement Excel spreadsheet in order to participate in the JET Filing system. <http://www.dir.ca.gov/dwc/EAMS/JetFiling/JETFileTradingPartnerAgreement.pdf>.
(Appendix G)

After approval of the JET File Agreement by the DWC, a JET account will be created by the DWC allowing for JET Filing.

1.3 References – Documents Reside on the JET File Web Page

Documents used during the development of these specifications are posted on the EAMS website. To access this site, go to <http://www.dir.ca.gov/dwc/EAMS/> and click on **JET File**.

These technical documents include:

- XML Schemas
- XML Schema Update Spreadsheets
- XML Payload Layout Specifications
- Form Schema Samples
- Payload Schema Response Samples
- Error Codes and Messages
- SFTP Forms Layout Specifications
- XML Schema Documentation

2 JET File System

The JET File System consists of two components:

1. Bulk filing of seven priority forms, through Secure File Transport Protocol (SFTP):
 - Application for Adjudication of Claim
 - Declaration of Readiness to Proceed (to Hearing)
 - Declaration of Readiness to Proceed (to Expedited Trial)
 - Compromise and Release
 - Stipulations with Request for Award
 - Notice and Request for Allowance of Lien
 - Golden Rod Lien Form (EDD)
2. Access to case file information on the DIR public website at http://www.dir.ca.gov/dwc/eams/EAMS_PublicInformationSearch.htm.

The seven priority EAMS forms were chosen because they comprise the highest volume of filed forms. Removing them from the paper queue saves the most time and resources.

This bulk filing mechanism provides improved submission and error responses to filers by:

- Automating error responses related to data entry.
- Editing input data for errors, moving error checking further forward in the document transmission process. (Due to the nature of EAMS' batch processing, not all errors can be caught up front.)

Input to the JET system is in XML format to help insure compatibility if there are case management system upgrades in the future.

2.1 JET Bulk Filing

Figure 1 illustrates the SFTP bulk filing mechanism.

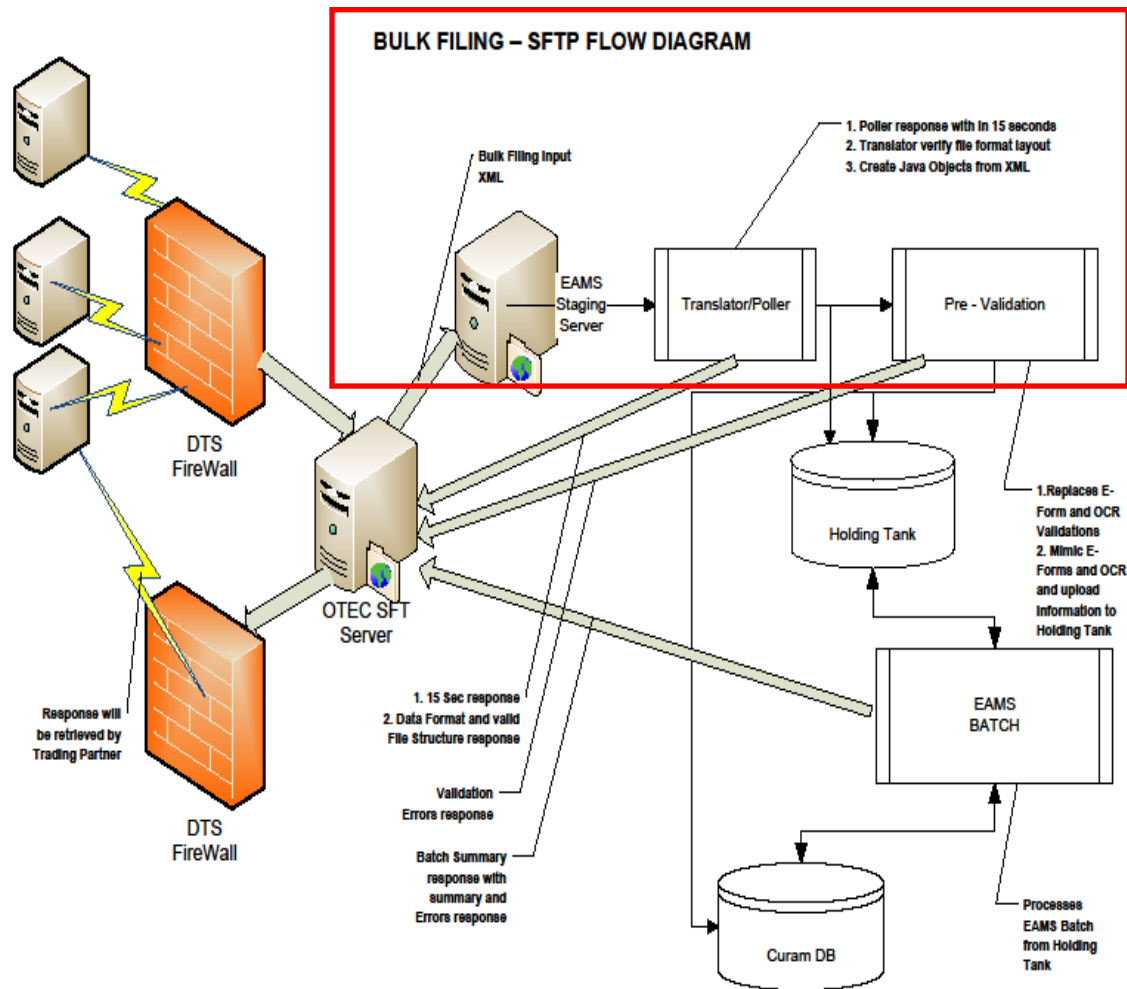


Figure 1 – JET Bulk Filing – SFTP Flow Diagram

2.2 JET File System Requirements

This section provides background for use cases described in [Section 3.2](#).

The following table lists the 21 requirements gathered in the original EAMS External User Access Project process. The table identifies requirement ownership by DIR Office of Information Services (OIS), DWC, or the Office of Technology Services (OTech), and whether the requirement is addressed in the JET File System.

Original requirement number	High level requirement (HLR) description	Owner	Requirement addressed in JET
1)	Provide acknowledgment of transmitted submissions and filing status.	DIR	YES
3)	Provide notification of planned outages using the system unavailability rule.	DWC	YES
4)	Provide a complete summary of all errors contained within the transaction after it has been processed by the EAMS batch interface.	DIR	YES
6)	Provide filing capability.	DWC/OTech	YES
7)	Define a single standard for connectivity.	OTech	
10)	Define standards valid for all submissions.	DIR/OTech	YES
10A)	Define industry standard formats to be used for attachments.	DIR/DWC	YES
11)	Implement automatic preservation of the original filing date for 15 days (per the rules of administration).	DIR	YES
13)	Provide the capability to support electronic signatures on various incoming documents.	DWC/DIR	YES
14)	Implement the functionality to replace the cover sheet and separator sheet with a data header.	DWC/DIR	YES
15)	DWC shall develop and provide to all interested parties a detailed list of all data elements, validations and business rules that will be required for successful filing of each DWC and WCAB form to be filed using the systems contemplated in this project.	DWC	YES
16)	DWC publishes and maintains a complete list of edits on a form-by-form basis (data element rule).	DWC	YES
17)	Form template should be rendered in the same format by the end user and the DWC.	DWC	YES
21)	Provide the ability to file additional liens.	DWC	
22)	Provide the ability to file documents under seal.	DWC/DIR	
24)	Provide a working test environment and minimum standards for external users.	OTech	
26)	Provide the capability to protect transmissions to and from the division.	OTech	YES
27)	Require security and audit trails for all transactions into DWC.	OTech /DIR	YES
29)	Facilitate the filing of the unrepresented QME reports to the DEU.	DWC	
38)	Define the rules for 3rd party filers concerning the retention of data and documents filed with 3rd party	DWC/OTech	

Original requirement number	High level requirement (HLR) description	Owner	Requirement addressed in JET
	filers.		
39)	Provide open solution that is operating system agnostic.	OTech	YES

Table 1: EAMS Access “Must Have” Requirements

3 SFTP Bulk Filing Requirements and Technical Use Cases

This section lists the SFTP bulk filing requirements that were captured during EAMS JET File requirements gathering sessions with submitters.

The bulk filing requirements exist in two forms:

- 1) **Business Rules:** Developed and refined from the original “must have” business requirements.
- 2) **Technical Use Cases:** Developed to insure implementation of the business rules.

3.1 EAMS JET File Bulk Filing: Business Rules

The business rules are contained in this document and can be viewed by clicking on the following link:

<http://www.dir.ca.gov/dwc/EAMS/EAMSPresentTermSolutionDocumentRepository/JETFileBusinessRules.xls>

3.1.1 Transmission Acknowledgment and Responses

There are three levels of acknowledgment or response to the submitter bulk filing transmissions:

Level 1: Submission acknowledgment provides acknowledgment to submitter that the packet was received, or that there was a basic error in the XML.

Level 2: Editing response notifies the submitter of either a successful submission (by validating the XML payloads), or the errors detected in editing.

Level 3: Batch response notifies the submitter of either the successful acceptance (processing) of a payload into EAMS, or the errors between submission and EAMS.

Technical Use Case No:	Technical Use Case Statement	Comments
TUC-01	Create and send to submitter an acknowledgment of receipt of packet within 15 seconds of receiving a bulk filing packet from submitter.	Level 1 Acknowledgment
TUC-02	Notify submitter if a duplicate packet or malformed XML was submitted.	Level 1 Acknowledgment
TUC-03	Create and send to submitter acknowledgment details containing whether the packet was accepted successfully for processing or rejected due to one or more errors that include: <ul style="list-style-type: none"> • Mandatory fields that are missing • Invalid data types fields • Invalid field length fields • Any XML errors 	Level 2 Acknowledgment
TUC-04	Create and send to submitter a summary of all transactions that are successfully processed from a packet, with details that include: <ul style="list-style-type: none"> ○ Transaction ID ○ Case number ○ User defined field ○ Time Stamp ○ Filed Date ○ Document type ○ Applicant name 	Level 3 Acknowledgment

Table 2: EAMS Technical Use Cases List – Acknowledgment

3.1.2 EAMS Batch Process

Technical Use Case No:	Technical Use Case Statement	Comments
TUC-05	Retain original date of submission for 15 calendar days in case transaction failed due to validation errors.	
TUC-06	Retain original date of submission for 15 calendar days irrespective of multiple submissions of same transaction to correct errors.	
TUC-07	Identify all errors in a packet.	Will have sub use cases for each type of form.
TUC-08	Process each transaction in a packet.	
TUC-09	Accept transaction with multiple forms and their attachment(s).	
TUC-10	Ensure that the document file date is the submission date.	The submission date is the date the packet is submitted if there are no errors, or the first date the packet is submitted in the 15 calendar day window.
TUC-11	Accept only 7 forms identified by the JET System as valid SFTP transactions.	
TUC-12	Accept a transaction with multiple forms and their attachment(s) based on business sequencing rules.	
TUC-13	Accept successful form(s) in a transaction if: <ul style="list-style-type: none"> a) There are no dependencies between the forms submitted when two or more forms are submitted, <i>and</i> b) There is an error in one or more forms. 	
TUC-14	Create error response for the failed form(s) in a transaction when one or more forms are submitted in a transaction.	
TUC-15	Identify and process resubmission of a form in a transaction if <ul style="list-style-type: none"> a) The previous submission resulted in an error, <i>and</i> b) The form is resubmitted within 15 calendar days of its submission. 	
TUC-16	Process SFTP solution forms thru existing EAMS business rules routines.	

Table 3: EAMS Technical Use Cases List – EAMS Batch Process

3.1.3 SFTP Transmission

Technical Use Case No:	Technical Use Case Statement
TUC-17	Accept successful SFTP transmission of a packet from submitter.
TUC-18	Transmit acknowledgment/responses identified for a packet back to submitter.
TUC-19	Accept SFTP packet from submitter irrespective of their Operating System thru SFTP protocol.
TUC-20	Create notification of outages to submitters.

Table 4: EAMS Technical Use Cases List – SFTP Transmission

3.1.4 Transaction Layouts

Technical Use Case No:	Technical Use Case Statement
TUC-21	Identify each transaction in a packet.
TUC-22	Create data stream structures using XML standards.
TUC-23	Support attachments with the following standard file formats: PDF, <u>PDF/A1-a</u> , TIFF, XLS and DOC.
TUC-24	Create the DWCPacket structure to receive incoming transactions, transmit summary reports, transmit acknowledgments and transmit errors in transactions.
TUC-25	Support multiple transactions in a packet submission.
TUC-26	Support a transaction header data structure that accepts only required fields in the corresponding form's cover sheet.
TUC-27	Support multiple forms in a transaction.

Table 5: EAMS Technical Use Cases List – Layout

3.1.5 Other Technical Activities

Technical Activity No:	Technical Activity Name	Comments
TA-1	Create user accounts for SFTP for submitters.	
TA-2	Publish error codes and their descriptions.	Available on the JET File web page.
TA-3	Publish JET File technical specifications for submitters.	Available on the JET File web page.
TA-4	Create a test environment for submitter.	Will be used for User Acceptance testing.

Table 6: EAMS Technical Use Cases List – Others

3.2 Submitter SFTP JET Filing: Technical Use Cases

Submitter technical use cases list the set of rules that will be the foundation for creating the solution for each submitter in the JET File System, as described in [Section 2.1](#).

The following table lists submitters' technical use case steps, showing typical processes for JET filers using this system (see Business Rules link provided in [Section 3.1](#)).

Use Case No:	Use Case Statement
UC-01	<p>Register as EAMS JET Filer:</p> <ol style="list-style-type: none"> 1) Connect to EAMS new JET File account creation site. 2) Provide account information. 3) Submit request. 4) Receive confirmation of submitted request. 5) Receive confirmed user account number.
UC-02	<p>Create Packet:</p> <ol style="list-style-type: none"> 1) Compile available forms by case. 2) Compile relevant attachments for the forms. 3) Create XML packet: <ol style="list-style-type: none"> a. Forms of the same case in a transaction. b. Multiple transactions in a payload. c. Packet or envelope for the payload. 4) Validate XML packet against EAMS SFTP Schema.
UC-03	<p>Submit Packet to EAMS:</p> <ol style="list-style-type: none"> 1) Open SFTP session using JET Filer account. 2) Submit packet to designated drop off folder. 3) Update internal subject claim data with EAMS status of "sent to EAMS".

Use Case No:	Use Case Statement
UC-04	Pickup Level 1 success acknowledgment from EAMS: <ol style="list-style-type: none"> 1) Open SFTP session. 2) Identify designated SFTP pickup folder. 3) Pickup level 1 receipt file. 4) If success, update subject claim data with EAMS status of "received by EAMS". 5) If rejected, identify reject reason and resubmit corrected packet.
UC-05	Pickup Level 2 success acknowledgment from EAMS: <ol style="list-style-type: none"> 1) Open SFTP session. 2) Identify designated SFTP pickup folder. 3) Pickup level 2 receipt file. 4) If success, update subject claim data with EAMS status of "Initial Format Accepted by EAMS". 5) If rejected, identify the level 2 errors and resubmit corrected packet.
UC-06	Pickup Level 3 success acknowledgment from EAMS: <ol style="list-style-type: none"> 1) Open SFTP session. 2) Identify designated SFTP pickup folder. 3) Pickup level 3 receipt file. 4) If success, update subject claim data with EAMS status of "Accepted by EAMS/DWC".

Table 7: Submitters Technical Use Cases List

4 XML Layout Specifications and Schema Definitions

EAMS uses the DWCPacket layout to receive and send all data streams used to file electronic forms. The DWCPacket contains header information and payload information. The payload itself will vary based on the layout used.

The following figure describes how the data is encapsulated in each DWCPacket:

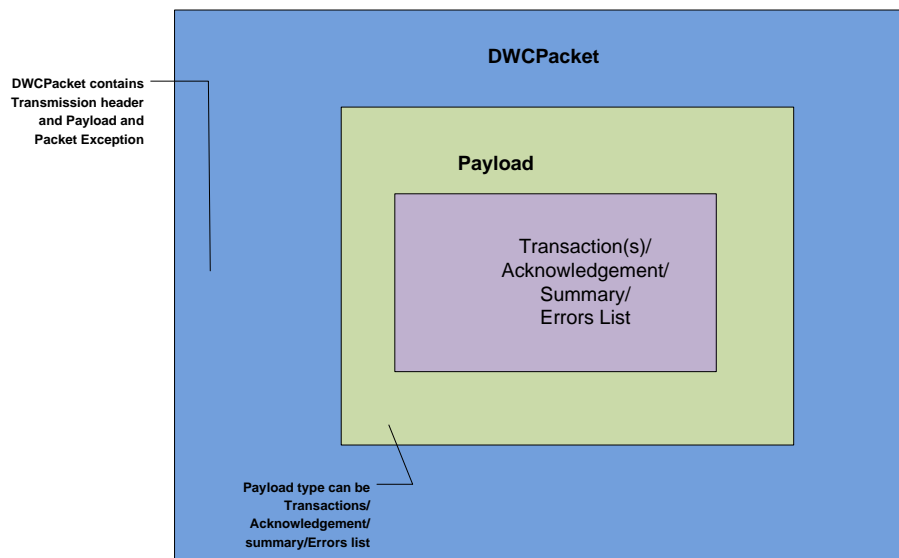


Figure 2 – DWCPacket – Data Encapsulation Diagram

All EAMS responses send the original packetID back to the submitter along with response payload information. The packetID is extracted from the submitted file's name for an immediate acknowledgment.

4.1 Payload Layout

The Payload identifies the business payload sent in the DWCPacket. There is one payload per DWCPacket transmission. The payload will vary based on the type of business request and response. For the JET File System, the following valid business payloads are identified:

- **SubmitFormsToEAMS:** The submitter uses this payload when requesting EAMS to process their forms and attachments.

- **EAMSFilingResponse:** EAMS uses this payload to identify a transaction's summary information and errors in transactions. The payload is sent by EAMS to each submitter.
- **EAMSPacketReceiveResponse:** EAMS uses this payload for the initial acknowledgment response (stating that a packet has been received). This response is produced within 15 seconds of the packet's initial transmission.
- **EAMSPacketValidationResponse:** EAMS uses this payload to respond to the submitter. Successful transmissions return summary information. Failed transmissions return all the submitted packet's validation errors. (These are currently limited to verifying the type and length of a data field.)

The following figure describes the business payload and the sequence of exchanges between the submitter and EAMS:

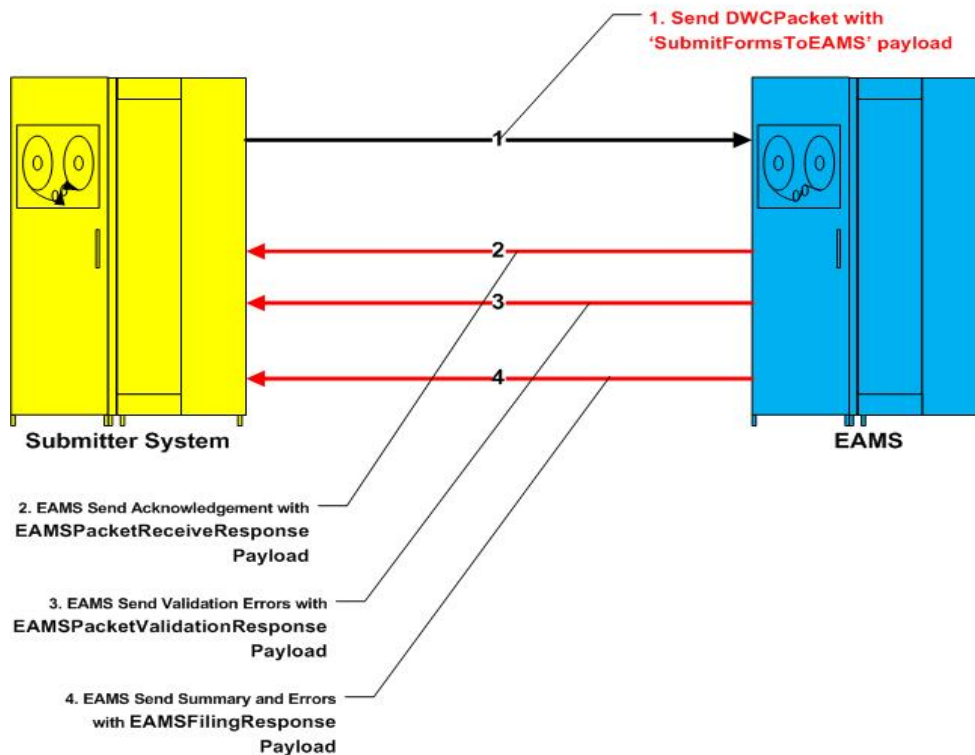


Figure 3 – Submitter – EAMS Payload Exchange Diagram

The layout of the EAMS SFTP bulk filing payload includes:

- Receiving transactions that contain one form header, form data, and supporting attachments.

- Sending an acknowledgment back to the submitter after successfully receiving a packet from the submitter.
- Sending validation errors back to the submitter.
- Sending summary information about all successful transactions and errors back to the submitter.

EAMS only accepts SubmitFormsToEAMS as a valid form submission payload. All submission files have the naming convention <SERVICENAME>_<PACKETID>. <SERVICENAME> to identify the submitted payload. <PACKETID> identifies the valid packetID that is submitted.

The following sections describe the layout structures for payloads that will be used in SFTP bulk filing.

4.2 SubmitFormsToEAMS Layout

The submitter uses the SubmitFormsToEAMS layout to send one or more transactions to EAMS. A transaction is defined as a set of one or more forms and one or more related attachments that are filed for a case. The type of forms that are filed together for a case depend on business sequencing rules. The transaction has a header similar to a CoverSheet, along with one or more forms to be submitted along with their attachments. There are no restrictions on the number of attachments that can be submitted with a form.

The following layout identifies the groups and fields that will be submitted as a part of SubmitFormsToEAMS service. Note that unless otherwise stated, all of these fields are considered mandatory.

Group/Field	Field	Comments
SubmitFormsToEAMS	VersionNumber	Valid version number
SubmitFormsToEAMS.Transactions		Group (contains one or many transactions)
SubmitFormsToEAMS.Transactions.Transaction		Group
SubmitFormsToEAMS.Transactions.Transaction.Header		Group

Group/Field	Field	Comments
SubmitFormsToEAMS.Transactions.Transaction.Header	TransactionID	Naming Convention of XXXX-DATE-YYYY-ZZZZZ , where: XXXX = ClientUserId DATE = (Date format: YYYYMMDD) YYYY = RunningSequenceNumber (1..9999) ZZZZZ = RunningSequenceNumber (1...99999)
SubmitFormsToEAMS.Transactions.Transaction.Header.CoverSheet		For fields in coversheet group, refer to Form layout of type coversheet.
SubmitFormsToEAMS.Transactions.Transaction.Forms		Group (contains one or many forms)
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form		Group
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form	FormShortName	Unique Form Name
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form	FormSequence Number	Unique Form Sequence Number. This is a positive running sequence number within the transaction, starting from 1.
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form	Resubmission Indicator	Resubmission indicator. Bulk filing values are Y or N, with a default of N.
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form	ResubmissionID	ResubmissionID generated by EAMS. Optional field—only used for resubmitted transactions.
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form	FormData	This maps to the form schema based on the form ID.
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.Attachments		Group (contains one or many attachments). Optional field.
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.Attachments.Attachment		
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.Attachments.Attachment	DocTitle	Document Title
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.Attachments.Attachment	AttachmentName	Document Name
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.Attachments.Attachment	AttachmentBase64	Attachment encoded using Base64 encoding.
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.Attachments.Attachment	DocType	Document Type

Group/Field	Field	Comments
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.Attachments.Attachment	Author	Author
SubmitFormsToEAMS.Transactions.Transaction.Forms.Form.Attachments.Attachment	DocDate	Document Date

Table 8: SubmitFormsToEAMS Payload Layout

4.3 EAMSFilingResponse Layout

The EAMSFilingResponse layout will be used by EAMS to send a response containing summary data for successful transactions processed, and an error section detailing the transactions that failed in EAMS batch processing. The failed transactions contain the error codes and error message details. There can be an instance where a transaction will appear on both the summary and error sections. This will happen when more than one form is submitted and not all the forms are successfully processed. For example, two forms submitted out of sequence, as defined by the business rules, will cause this outcome.

The following layout identifies the groups and fields that will be sent back from EAMS as a part of EAMSFilingResponse service.

Group/Field	Field	Comments
EAMSFilingResponse	VersionNumber	Valid version number
EAMSFilingResponse	ResponseType	Response Type -- First /Second
EAMSFilingResponse.Summary		Group
EAMSFilingResponse.Summary.Transactions		Group (contains one or many transactions)
EAMSFilingResponse.Summary.Transactions.Transaction		Group
EAMSFilingResponse.Summary.Transactions.Transaction	TransactionID	Returned from the Original submission.
EAMSFilingResponse.Summary.Transactions.Transaction	DateSubmitted	Returned from the Original submission.
EAMSFilingResponse.Summary.Transactions.Transaction.Forms		Group (contains one or many forms)
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form		Group
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	FormShort Name	Unique Form Name
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	FormSequence Number	Returned from the Original submission.
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	FiledDate	
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	CaseNumber	
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	FormMessage	If submission is successful "Form Succeeded Level 3." If it fails, an error message is produced.
EAMSFilingResponse.Errors.Transactions		Group (contains one or many transaction)

Group/Field	Field	Comments
EAMSFilingResponse.Errors.Transactions.Transaction		Group
EAMSFilingResponse.Errors.Transactions.Transaction	TransactionID	This unique identifier will be returned from the original submission
EAMSFilingResponse.Errors.Transactions.Transaction.Forms		Group (contains one or many form)
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form		Group
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form	FormShort Name	Returned from the Original submission.
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form	FormSequence Number	Returned from the Original submission.
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	FiledDate	Date Filed
EAMSFilingResponse.Summary.Transactions.Transaction.Forms.Form	Case Number	Case Number
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form.ErrorList		Group (one or many form errors)
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form.ErrorList.Error		Group
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form.ErrorList.Error	ErrorCode	
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form.ErrorList.Error	ErrorPrimary	
EAMSFilingResponse.Errors.Transactions.Transaction.Forms.Form.ErrorList.Error	ErrorSecondary	

Table 9: EAMSFilingResponse Layout

4.4 EAMSPacketReceiveResponse Layout

The EAMSPacketReceiveResponse layout will be used by EAMS to send an acknowledgment back to the submitter that a packet has been received.

The following layout identifies the group and field that will be submitted as part of the EAMSPacketReceiveResponse service.

Group/Field	Field	Comments
EAMSPacketReceiveResponse	VersionNumber	Valid version number
EAMSPacketReceiveResponse	Message	

Table 10: EAMSPacketReceiveResponse Layout

4.5 EAMSPacketValidationResponse Layout

The EAMSPacketValidationResponse layout will be used by EAMS to send an acknowledgment back to the submitter that a packet has been validated.

The following layout identifies the groups and fields that will be submitted as a part of EAMSPacketValidationResponse service.

Group/Field	Field	Comments
EAMSPacketValidationResponse	VersionNumber	Valid version number
EAMSPacketValidationResponse	Acknowledgment	
EAMSPacketValidationResponse.Errors		Group. Optional field.
EAMSPacketValidationResponse.Errors.Transactions		Group (contains one or many transactions)
EAMSPacketValidationResponse.Errors.Transactions.Transaction		Group
EAMSPacketValidationResponse.Errors.Transactions.Transaction	TransactionID	This unique identifier is returned from the original submission.
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms		Group (contains one or many forms). Optional field.
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form		Group

Group/Field	Field	Comments
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form	FormShort Name	Returned from the original submission.
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form	FormSequence Number	Returned returned from the original submission.
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form.FormErrors		Group (one or many form errors)
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form.FormErrors.FormError		Group
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form.FormErrors.FormError	ErrorCode	
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form.FormErrors.FormError	ErrorPrimary	
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form.FormErrors.FormError	ErrorSecondary	
EAMSPacketValidationResponse.Errors.Transactions.Transaction.Forms.Form	Resubmission ID	Unique resubmission ID generated by EAMS.
EAMSPacketValidationResponse.Errors.Transactions.TransactionErrors		Group. Optional field.
EAMSPacketValidationResponse.Errors.Transactions.TransactionErrors.TransactionError		
EAMSPacketValidationResponse.Errors.Transactions.TransactionErrors.TransactionError	ErrorCode	
EAMSPacketValidationResponse.Errors.Transactions.TransactionErrors.TransactionError	ErrorPrimary	
EAMSPacketValidationResponse.Errors.Transactions.TransactionErrors.TransactionError	ErrorSecondary	

Table 11: EAMSPacketValidationResponse Layout

4.6 DWCPacket Layout

The following table describes the fields in the DWCPacket layout. Note that unless otherwise stated, all of these fields are considered mandatory.

Group/Field	Field	Comments
DWCPacket	VersionNumber	Valid version number
DWCPacket.DWCPacketHeader		Group
DWCPacket.DWCPacketHeader	PacketID	Naming Convention of XXXX-DATE-YYYY , where: XXXX = ClientUserId

Group/Field	Field	Comments
		DATE = (Date format: YYYYMMDD) YYYY = RunningSequenceNumber (1..9999)
DWCPacket.DWCPacketHeader	TransportProtocol	SFTP is the only protocol
DWCPacket.DWCPacketHeader	PacketType	Request = Input Reply = Summary Message Exception = Errors
DWCPacket.DWCPacketHeader	ClientUserId	SFTP userid
DWCPacket.DWCPacketHeader	SecurityToken	Optional field.
DWCPacket.DWCPacketHeader	TestMessage	Acceptable values for bulk filing are TRUE or FALSE, with the default being FALSE. This decides whether to ignore processing. Optional field.
DWCPacket.DWCPayloadInformation		Group
DWCPacket.DWCPayloadInformation	ServiceName	UniqueServiceNames IN1 = SubmitFormsToEAMS, OU1 = EAMSFilingResponse, OU2 = EAMSPacketReceiveResponse, OU3 = EAMSPacketValidationResponse
DWCPacket.DWCPayloadInformation	PayloadFormat	This maps to the Data Model that will be used for exchange. Only XML is used for bulk filing.
DWCPacket.DWCPayloadInformation	PayloadSchema	Schema Name. Optional field.
DWCPacket.DWCPacketHeaderSource		Group
DWCPacket.DWCPacketHeaderSource	LogicalSystem	Submitters System = company system name
DWCPacket.DWCPacketHeaderSource	Environment	DEV = Development TST = Test UAT = User Acceptance PRD = Production
DWCPacket.DWCPacketHeaderTarget		Group
DWCPacket.DWCPacketHeaderTarget	LogicalSystem	Only EAMS is acceptable for bulk filing.
DWCPacket.DWCPacketHeaderTarget	Environment	DEV = Development TST = Test UAT = User Acceptance PRD = Production
DWCPacket	DWCPacket Payload	Valid Payload
DWCPacket.DWCPacketExceptions		Group (contains one or many exceptions). Optional field.

Group/Field	Field	Comments
DWCPacket.Exceptions.Exception		Group
DWCPacket.DWCPacketExceptions.Exception	ErrorCode	Error Codes
DWCPacket.DWCPacketExceptions.Exception	ErrorPrimary	Primary message mapping to the code.
DWCPacket.DWCPacketExceptions.Exception	ErrorSecondary	Detailed secondary message

Table 12: DWCPacket Layout

4.7 Forms Specifications

Refer to SFTP Forms Layout Specifications in [Appendix C](#).

4.8 Canonical Data Model

The EAMS Forms Canonical Data Model organizes all the form field elements and their domains. The following figure illustrates the mapping between various data models and the EAMS Form Canonical Data Model.

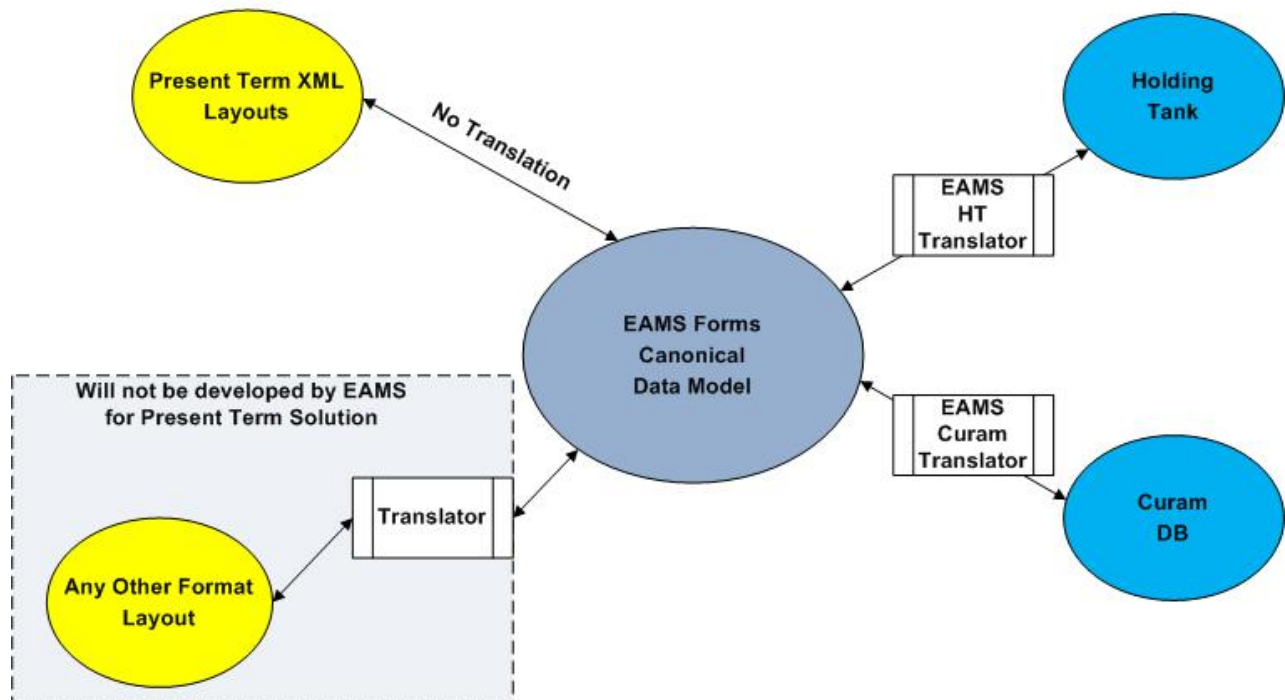


Figure 4 – Canonical Data Model

EAMS JET XML Layout field definitions are identical to definitions in the EAMS Forms Canonical Data Model. When a submitter transmits the DWCPacket using the JET layout definition, EAMS accepts the transmission and processes the transmission data with EAMS HT Translators and the EAMS Cúram Translator.

EAMS only accepts input transmission formats that match the EAMS Forms Canonical Data Model. If a submitter uses an XML layout definition that differs from this model (for example, 2GEFS) the submitter must develop a translator to convert it to the standard DWCPacket layout format.

The following mappings are identified for the EAMS Canonical Model in this system:

- Forms Layout Fields to Canonical Fields Mapping
- Holding Tank to Canonical Fields Mapping
- Cúram to Canonical Fields Mapping

The EAMS Forms Canonical Data Model specifications are for EAMS DIR OIS internal use only. Submitters must use the schema specifications defined on the JET website. These definitions are available at <http://www.dir.ca.gov/dwc/EAMS/>, under **How to JET File > JET File** and **Resources > Technical Specifications**. Each form has individual schema examples. These specifications are used to create SubmitFormsToEAMS payload transactions and receive transmission acknowledgments, errors, and summary information.

4.9 Schema Definitions

To download a zip file with all schema definitions, go to <http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Schema.zip>.

5 Error Codes and Messages

Error messages are categorized into three different groups (as seen in detail in [Section 3.2.1](#)). Each group maps to one of the three response levels:

- **Level 1:** Submission acknowledgment provides acknowledgment to submitter that the packet was received, or that there was a basic error in the XML.
- **Level 2:** Editing response notifies the submitter of either a successful submission (by validating the XML payloads), or the errors detected in editing.
- **Level 3:** Batch response notifies the submitter of either the successful acceptance (processing) of a payload into EAMS, or the errors between submission and EAMS.

EAMS includes both an error code and an error message in summary/exception responses. An error is mapped to the relevant error code and error message in the JET Filing Error Codes and Messages Table, and the resulting error message is returned to the submitter. (See [Appendix E](#) for the URL with the table of error codes and messages.)

JET File error message response files often have a “primary” error message and a “secondary” detailed error message. Primary messages describe the type of error, while secondary messages provide a description that includes the section and field name (when applicable).

Naming conventions for response files are as follows:

- **Level 1:** The “IN1” string in the input file name is replaced with an “OU1” string, and “-1” is inserted right before the “.xml” extension.
- **Level 2:** The “IN1” string in the input file name is replaced with an “OU2” string, and “-2” is inserted right before the “.xml” extension.
- **Level 3:** The “IN1” string in the input file name is replaced with an “OU3-1” or “OU3-2” string.

Examples using input file name: dir-pts-uo202020_**IN1**_202020-20120913-1611.xml

- **Level 1:** dir-pts-uo202020_**OU1**_202020-20120913-1611-**1**.xml
- **Level 2:** dir-pts-uo202020_**OU2**_202020-20120913-1611-**2**.xml
- **Level 3:** dir-pts-uo202020_**OU3-1**_202020-20120913-1611.xml
dir-pts-uo202020_**OU3-2**_202020-20120913-1611.xml

The “secondary” detailed error message is formatted either as a general or a detailed error statement. Detailed error statements are reserved for when field names and values are required.

- **General error statement:**
error code 10020: Invalid DWCPacket version.
- **Detailed error statement:**
error code 20050: <SectionName>.<FieldName>.<Field Value> Case Number found for Case Opening Document.

The following table defines error code numbering blocks:

Error Code Blocks	Level	Description
10000	Level 1	Error codes that are packet related will be thrown in level 1.
20000	Level 2	Validation errors that are related to formatting of XML and any conditional field validation.
30000	Level 3	Batch processing errors.

Table 13: Error Codes Blocks To Level Mapping

5.1 Level 1 Error Messages

Level 1 error messages are generated if there is a problem with the submitted packet.

The following table lists a sample of a Level 1 error message:

ERROR CODE	ERROR MESSAGE(Primary)	ERROR MESSAGE DETAILS (Secondary) (This field will be part of error message and contain details on the sub category of the error message with field element values)
10020	Invalid DWCPacket Value	The packet ID does not match with file name.

Table 14: Sample Level 1 Error Codes

5.2 Level 2 Error Messages

Level 2 error messages are generated if there is a problem validating XML input data and entering this data into the Holding Tank (HT) database (staging area). There should be minimal Level 2 errors, because XML schema validations catch most invalid field length and data type errors.

The following table lists a sample of a Level 2 error message:

ERROR CODE	ERROR MESSAGE(Primary)	ERROR MESSAGE DETAILS (Secondary) (This field will be part of error message and contain details on the sub category of the error message with field element values)	FIELD NAMES
20000	Invalid Date Value	1)<SectionName>.<FieldName>. must be earlier than the date of injury.	1)AppForADJ ApplicationSection.DateOfBirth.

Table 15: Sample Level 2 Error Codes

5.3 Level 3 Error Messages

Level 3 error messages are generated during batch processing, when the submitter's payload is loaded into EAMS.

The following table lists a sample of a Level 3 error message:

ERROR CODE	ERROR MESSAGE(Primary)	ERROR MESSAGE DETAILS (Secondary) (This field will be part of error message and contain details on the sub category of the error message with field element values)
30010	DOR Queue	1) No suitable slot available.

Table 16: Sample Level 3 Error Codes

6 JET File System Security

JET File system security ensures that data exchanged between EAMS and the JET Filer is kept safe. Security must be assured for bulk filing data transmitted via SFT accounts as well as for sensitive administrative data sent and received by account management staff.

DIR/DWC is concerned with infrastructure security, which deals with data in flight and at rest.

6.1 SFT Overview

EAMS uses a Secure File Transport (SFT) system for file exchanges with each JET Filer. An external JET Filer logs into the SFT system to establish a secure tunnel for data transmission. SFT ensures that data is safe during its transfer through Secure Shell (SSH) encryption. This encryption ensures that a JET File's information (usernames, passwords, commands, and other data) is kept safe from unauthorized access.

6.2 Infrastructure Security – OTech Security Standard

The Office of Technology Services (OTech) is the State of California's data center. OTech hosts some of the largest state agency systems, such as DMV and EAMS, and maintains strict security standards. OTech's standard for file transfer is SFT, with OTech servers receiving this data kept behind a firewall that protects the production environment. Stored data is encrypted with Triple Data Encryption Standard (DES), in memory. Triple DES has been approved by the National Institute of Standards and Technology (NIST) Federal Information Processing Standard (FIPS) for encrypting sensitive government information. (OTech security standards are available for review at http://www.servicecatalog.dts.ca.gov/docs/3117_Network_Architecture_Standard.pdf).

6.3 Infrastructure Security – JET File System

EAMS and JET File are hosted at OTech and adhere to the OTech security standard of SFT for file exchanges. To protect data, all files sent must be secure at all times. First, the data is protected by SFTP protocol (using SSH) while being transmitted to SFT. Once the files are received by SFT they are encrypted with Triple DES in memory. Finally, the files are decrypted and moved to the secure EAMS environment for processing, all behind the OTech firewalls.

7 Guidelines and Standards

7.1 Technical Guidelines

The following guidelines are intended to further qualify and explain technical information presented in this document. Guidelines are grouped into categories to facilitate access.

Note: A complete list of fields related to validation can be found in JET File Error Codes and Messages Table (see link in [Appendix E](#)).

7.2 Form Guidelines

This section describes the general edits and validations for forms that the submitter must enforce.

1. Date field values must be later than the date of injury wherever applicable.
2. Date field values must be equal to or later than the date of injury wherever applicable.
3. Date field values must be later than date of birth wherever applicable.
4. Date field values must be earlier or equal to current date wherever applicable.
5. Date of Birth value can't exceed 130 years earlier than current date.
6. Date set values supplied must be valid (e.g., the start date should be earlier than end date).
7. Fields which use codes must have valid values.
8. Law Firm or Representative Name must be a Uniform Assigned Name (UAN).
9. Claims Administrator must be a Uniform Assigned Name (UAN).
10. S Signature format must be "S FIRST NAME LAST NAME" (e.g., "S JOHN JONES").
11. Mandatory attachments must be attached for each form.
12. Invalid attachments must not be submitted for a form.
13. The latest version of the form schema layout must be the valid version.

14. Submitted injured worker information for a non-case opening form must match what exists in EAMS.
15. Only valid schema data elements may be submitted.
16. Valid Resubmission ID must be listed along with Resubmission Indicator when a form is resubmitted for a previous error.
17. Date of Injury Start and Date of Injury End are required if Injury Type is "C" (Cumulative).
18. Claims Administrator information must be supplied when Employer is insured or self-insured or legally uninsured in AppForADJ, CompromiseAndRelease, and Stips forms.
19. Insurance Carrier information must be blank when Employer is self-insured or legally uninsured in AppForADJ, CompromiseAndRelease, and Stips forms.
20. Both Claims Administrator and Insurance Carrier information must be blank when Employer is uninsured in AppForADJ, CompromiseAndRelease, and Stips forms.
21. AppForADJ form must have either Applicant Attorney/Representative S Signature or Applicant S Signature.
22. NoticeAndRequestOfLien forms must have either Attorney/Representative S Signature or Lien Claimant S Signature.
23. Injury Information must be supplied for CompromiseAndRelease and Stips forms when they are to be treated as case opening documents.
24. Principal issues must be submitted for DOR form.
25. Declarant request reason must be submitted for DOR Expedited form.
26. CoverSheet Walkthru Indicator (true) valid only for CompromiseAndRelease and Stips.

7.3 Transaction Guidelines

The following section describes the general edits and validations for a transaction that the submitter must enforce to have a transaction accepted.

1. No Case Number may be listed on a case opening form.
2. No Companion Case(s) may be listed on the AppForADJ case opening form.
3. Case Numbers and Companion Case Numbers must be in the right format.

4. Valid EAMS Case Numbers and Companion Case Numbers must be supplied for an injured worker.
5. A valid version of the transaction schema layout must be submitted.
6. No duplicate transactions may be submitted.
7. Valid Transaction ID must be submitted
8. A valid transaction must be submitted (a case opening document cannot be submitted with a non-case opening document).
9. Valid schema data elements must be submitted.

7.4 Payload Guidelines

The following section describes the general edits and validations for a payload that the submitter must enforce.

1. Valid version of the transaction schema layout must be submitted.
2. Valid schema data elements must be submitted.

7.5 Transmission and DWCPacket Guidelines

The following section describes the file validations that the submitter must enforce.

1. Valid file name must be submitted.
2. Valid Payload Service Name and Service Version must be submitted.
3. Valid Target information must be submitted.
4. No duplicate files may be submitted.
5. No duplicate Packet_ID may be submitted.
6. Valid version of the DWCPacket schema layout must be submitted.

7.6 Exception Handling Guidelines

The following section describes the EAMS response for handling errors in a transmission.

1. EAMS will reject a file if any of the validations identified in [Section 7.1.3](#), [Section 7.1.4](#) fail.
2. EAMS will reject a transaction if any of the validations identified in [Section 7.1.2](#) fail.
3. EAMS will reject a form with an error in a transaction if any of the validations identified in [Section 7.1.1](#) fail.
4. EAMS will track the original date of submission for a form if the file submitted is valid and the transaction for the form is valid.
5. EAMS will generate a Resubmission ID for forms with errors. If the original submission date needs to be preserved, the submitter can use this ID to resubmit these forms. However, lien forms rejected due to non-payment of a required filing fee cannot maintain the original submission date using this process.

7.7 XML Schema Standards

The following sections describe the standards followed in creating XML schema layouts for SFTP bulk filing.

SFTP bulk filing XML schema layouts were created based on W3C standards (XML Schema: Structures Second Edition, W3C Recommendation 28 October 2004, URL: http://www.w3.org/TR/xmlschema-1/#cElement_Declarations). Data types, usage of groups, complex types were modeled on W3C standards.

XML form field names and element names were modeled based on ebXML Technical Architecture Specification v1.0.4 (URL: <http://www.ebxml.org/specs/ebTA.pdf>). The standards followed include.

- All Element names start with a capital letter (e.g., SocialSecurityNumber) and follow the UCC (UpperCamelCase) naming convention.
- All simpleType field names start with a lower-case letter (e.g., socialSecurityNumber) and follow the LCC (lowerCamelCase) naming convention.
- No spaces, dashes or other punctuation marks can be used.

The following sub sections describe the schema standards which were followed during schema development.

7.8 General Schema Guidelines

1. Elements that branch off the root will end in “Section” (e.g., ApplicationSection, EmployerSection).
2. General rules for all names:
 - A. Acronyms and Abbreviations are not used (e.g., VenueLocationCode is used instead of VenueLocationCd).
 - B. Underscore (_), periods (.) and dashes (-) are not used (e.g., VenueLocationCode is used instead of Venue_Location_Code/ Venue-Location-Code/ Venue.Location.Code).

7.9 Standard Elements

Standard elements and complex types are reused in defining form structure wherever applicable. Standard structures include:

- **Address:** Used wherever an address is required (AddressLine1, City, State & Zip).
- **Venue:** Used wherever a Venue Location and Venue Office is required.
- **Name:** Used wherever a person’s name is required.

7.10 Field Restrictions

Standard field restrictions are applied across all forms wherever applicable. The field restrictions may not follow standard OCR template field restrictions or E-form template field restrictions. Standard restrictions include:

- addressLine1 is restricted to 40 UpperCase characters A to Z, digits 0 to 9, and special characters ' # space
- city is restricted to 25 UpperCase characters A to Z, and special characters - ' space
- firstName is restricted to 25 UpperCase characters A to Z, and special character -
- fullAddress is restricted to 40 UpperCase characters A to Z, digits 0 to 9, and special characters ' # space
- fullLongName is restricted to 80 UpperCase characters A to Z, and special characters '-

- lastName is restricted to 25 UpperCase characters A to Z, and special characters '-
- middleInitial is restricted to 1 UpperCase characters A to Z
- organizationName is restricted to 56 UpperCase characters A to Z, and special characters '- space
- phoneNumber is restricted to 10 digits 0 to 9
- socialSecurityNumber is restricted to 9 digits 0 to 9
- zip5Code is restricted to 5 digits 0 to 9
- Any dollar value must be between 0 and a max of 99999999999999.99

7.11 Section Names

Section names were created to group logical set of form elements. The section names and grouping of fields may not follow the standard OCR template or eForm template. Section names include the following:

- ApplicationSection
- ApplicantSection
- EmployeeSection

Appendix A: JET File Terminology/Descriptions

<i>Terminology</i>	<i>Description</i>
General Software, Hardware, and Data Transmission Terms	
Artifact	An artifact is one of many kinds of tangible byproducts produced during the development of software. Some artifacts (e.g., use cases, class diagrams, and other UML models, requirements and design documents) help describe the function, architecture, and design of software. Other artifacts are concerned with the process of development itself - such as project plans, business cases, and risk assessments.
Bandwidth <input type="checkbox"/>	The amount of information or data that can be sent over a communications channel in a given period of time. The higher a channel's bandwidth, the more information it can carry.
Boundary <input type="checkbox"/>	The separation point between network segments. Boundaries are usually set by devices that control data, such as routers and gateways.
Carrier sense <input type="checkbox"/>	The ability of a network device to "listen" to the network to determine if any other devices are trying to transmit data.
Carrier sensing multiple access with collision detection	An Ethernet communication protocol in which devices check the network to see if it is clear before transmitting data.
Collision <input type="checkbox"/>	A situation in which two or more network devices send data at the same time.
Collision detection <input type="checkbox"/>	The ability of network nodes to sense when there is a collision. When collisions occur, the nodes simply wait to re-transmit the information.
Data <input type="checkbox"/>	Information is transmitted or processed digitally. In data transmission, a "1" or "0" represents the most fundamental unit of information in a digital system.
Firewall <input type="checkbox"/>	A piece of hardware or software that protects a network from unwanted content or unauthorized users.
Header <input type="checkbox"/>	Supplemental data placed at the beginning of a block of data being stored or transmitted.
Industry standard <input type="checkbox"/>	A universally accepted set of guidelines for the operational quality of a device or process.
Infrastructure <input type="checkbox"/>	The physical equipment that makes up the network. The most important part of network infrastructure is the transmission medium.
Input/output device <input type="checkbox"/>	A device connected to the input/output section of a computer. Inputs are usually sensors while outputs are usually devices that perform a mechanical action.
Interface	An Interface in Computer science refers to a set of named operations that can be invoked by clients. Interface generally refers to an abstraction that an entity provides of itself to the outside.
Megabit <input type="checkbox"/>	One million bits. A bit is a single numerical unit in the binary number system.
Message <input type="checkbox"/>	The instructions contained in a data packet.

<i>Terminology</i>	<i>Description</i>
Multiple access □	A type of network access in which each node on the network has the same right to transmit data packets as any other node.
Packet □	A unit of data that carries information such as instructions. TCP/IP is a communications protocol that breaks data up into packets.
Protocol □	The standards and rules used by computers and other network devices to interact with each other. In many respects, protocols are the language that network devices use to communicate.
Router □	A network device that determines where information packets should go and sends them to their destination by the shortest, most efficient route.
SSH	Secure Shell, a network protocol for secure data communication between two networked computers, connected through a secure channel over an insecure network.
SFT	Secure File Transport, a network protocol designed to provide secure file transfer and manipulation facilities over SSH.
Switch □	A network hardware device that allows different nodes on the network to communicate with each other. Switches have the ability to selectively forward data packets to a specific destination.
Transmission	Transfer of files across a network.
Transmission error	An error on the transmission network.
Transmission medium □	The means by which data travels through a network. Typically this is some type of cable, although wireless networks are becoming increasingly common.

<i>Terminology</i>	<i>Description</i>
JET Terminology	
Batch process	A process that runs within EAMS to move transactions from the Holding Tank to appropriate databases.
Bulk filing	The ability to file multiple EAMS Forms and related attachments in a single electronic transmission.
Digital signature	An electronic identifier, created by computer, intended by the party using it to have the same force and effect as the use of a manual signature. (See chapter 10 of title 2, division 7 of Cal. Code of Regs., 2 CCR § 22000, et seq.).
DWCPacket	A DWCPacket is the master layout used by EAMS and submitters to send and receive all information for JET filing.
Electronic signature	An electronic sound, symbol, or process, attached to or logically associated with a record and executed or adopted by a person with the intent to sign the record. (This definition is based on section 106 of the federal ESIGN Act. 15 USCS § 7006).
Error response	The response from DWC to the submitter about errors contained in a JET File transaction.
Form	EAMS forms used as input by the JET File System. The forms are: <ul style="list-style-type: none"> • Application for Adjudication of Claim • Declaration of Readiness to Proceed (to hearing) • Declaration of Readiness to Proceed (to Expedited Trial) • Compromise and Release • Stipulations with Request for Award • Notice and Request for Allowance of Lien • Goldenrod Lien (EDD)
Form header	A data record within a packet that includes high level form information for bulk filing.
Form trailer	A data record within a packet that includes information such as last modified date, character encoding, sender name, transaction ID and more.
JET filing	The JET File system allows electronic filing of multiple "forms" and attachments in a single transmission by secure file transfer protocol (SFTP).
Packet	A Packet is the transmission of a payload which has 1 or more transactions; a transaction is for one case and the transaction has 1 or more forms and attachments.
Packet header	A data record within a packet that includes high level information for bulk filing.
Packet trailer	A data record within a packet that includes information such as last modified date, character encoding, sender name, transaction ID and more.
Payload	Material transmitted over a network (either computer or telecommunications network) includes both data and information that identifies the source and destination of the material. The payload is the actual data, or the cargo, carried by the headers.

<i>Terminology</i>	<i>Description</i>
PTS	Present Term Solution, the original name used for the JET File System.
S signature	Signature of filer on the form in the format of S JOHN JONES.
S signature verification	Verification signed by the person whose S Signature is on the form – the required language to be provided by DWC.
Submitter	Any one of the external user participants who submits data to the JET File System.
Transaction	Within the JET File System, data from one case that has 1 or more forms and attachments.
Transaction error	An error in the format of a transaction.
Transaction error response	The response from DWC to the submitter whose transaction contained errors.
Transaction header	A data record within a packet that includes high level transaction information for bulk filing.
Transaction trailer	Information such as last modified date, character encoding, sender name, transaction ID and more.
UDQ	Unprocessed Documents Queue.
Use case	A use case in software engineering and systems engineering is a description of a system's behavior as it responds to a request that originates from outside the system. In other words, a use case describes "who" can do "what" with the system in question. The use case technique is used to capture a system's behavioral requirements by detailing scenario-driven threads through the functional requirements.□

Appendix B: SFTP Forms-ID Mapping

FORM ID	FORM
10232_1	Coversheet (this has been changed to a transaction header)
WCAB_1	Application for Adjudication of Claim
10214_a	Stipulations with Request for Award
10252_1	Declaration of Readiness to Proceed (expedited trial)
WCAB_6	Notice and Request for Allowance of Lien
10250_1	Declaration of Readiness to Proceed
10214_c	Compromise and Release
DE2581	Golden Rod Lien (EDD)

Appendix C: SFTP Forms Layout Specifications

<http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/PresentTermSolution.htm>

Appendix D: Error codes and messages

http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Documents/Error_Codes_and_Messages.doc

Appendix E: XML schema documentation

Click on these links to see the XML schema documentation for forms listed below:

Application for Adjudication

- <http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Schemas/Forms/AppForADJDocumentation/AppForADJ.html>

Compromise and Release

- <http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Schemas/Forms/CompromiseandReleaseDocumentation/CompromiseandRelease.html>

Declaration of Readiness to Proceed (to hearing)

- <http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Schemas/Forms/DORDocumentation/DOR.html>

Declaration of Readiness to Proceed (to expedited trial)

- <http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Schemas/Forms/DORExpeditedDocumentation/DORExpedited.html>

Golden Rod Lien (EDD)

- <http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Schemas/Forms/GoldenRodLienDocumentation/GoldenRodLien.html>

Notice and Request of Lien

- <http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Schemas/Forms/NoticeandRequestofLienDocumentation/NoticeandRequestofLien.html>

Stipulations with Request for Award

- <http://www.dir.ca.gov/dwc/EAMS/PresentTermSolution/Schemas/Forms/STIPSDocumentation/Stips.html>

Appendix F: JET File Agreement

<http://www.dir.ca.gov/dwc/EAMS/JetFiling/JETFileTradingPartnerAgreement.pdf>

Appendix G: Revision History

Revision History

Date	Version	Description	Author
02/05/10	1.0	Initial Version	CKV Sadishkumar – EAMS IT
02/15/10	1.1	Use Case updates	CKV Sadishkumar – EAMS IT
02/17/10	1.2	Layout updates	CKV Sadishkumar – EAMS IT
02/24/10	1.3	1. Section 3.1 Introduction and chart updates 2. Appendix A Terminology additions/updates	Susan Gard – DWC
02/25/10	1.4	1. Section 3.4 Submitter Use Cases 2. Section 4.4 Canonical Model 3. Section 5 Error Messages	CKV Sadishkumar – EAMS IT Ira Philips – EAMS IT Nina Kot, Jackie Chang – EAMS IT
05/6/10	2.0	1. Technical Specifications divided into 2 documents: - Bulk Filing (V2.0) - All other technical activities	CKV Sadishkumar – EAMS IT Ira Philips – EAMS IT Nina Thayer – EAMS IT
05/7/10-06/7/10	2.0	Revision of Bulk Filing (V2.0) Technical Specifications	CKV Sadishkumar – EAMS IT Ira Philips – EAMS IT Nina Thayer – EAMS IT Dale Klein – EAMS IT
04/7/11	2.0	Update Section 3.1.1 - EAMS PTS Business Rules v2.6	Ira Philips – EAMS IT
04/11/11	2.0	Update Section 5 – Error Codes and Messages	Ira Philips – EAMS IT
04/29/11	2.0	Update Section 3.1.1 - EAMS PTS Business Rules v2.7	Ira Philips – EAMS IT
05/24/11	2.0	Restore Update Section 5 – Error Codes and Messages	Ira Philips – EAMS IT
06/02/11	2.0	Update Section 3.1.1 - EAMS PTS Business Rules v2.8	Ira Philips – EAMS IT
06/10/11	2.0	Update Section 3.1.1 - EAMS PTS Business Rules v2.9	Ira Philips – EAMS IT
06/17/11	2.0	Update Section 3.1.1 - EAMS PTS Business Rules v3.0	Ira Philips – EAMS IT
06/27/11	2.0	Update Section 5.4 - Error Codes and Messages Table; codes: 20040, 20140, 20150	Ira Philips – EAMS IT

10/16/12	3.0	Update to add corrections. Change to omit sections already published separately.	Dominic Wu – EAMS – JET IT Dorothy Thompson – EAMS IT
11/12/12	4.0	Update document to include legislative changes pursuant to Senate Bill No. 863.	Minerva Krohn – DWC/Legal Dorothy Thompson– EAMS IT Victor Kuang– EAMS – JET IT Amy Dickinson – EAMS IT