

Supplemental Requirements Specification
Interface: Prior to 2010 UI/UHI Confirmation
File

DUA QUEST Project

Division of Unemployment Assistance (DUA)
Commonwealth of Massachusetts

DUA QUEST

DOCUMENT REVISION HISTORY

| Date | Version | Reason for Revision |
|-------------|----------------|----------------------------|
| 06/09/09 | 0.1 | Initial Draft |
| 12/30/2009 | 1.0 | Updated example |

DUA QUEST

TABLE OF CONTENTS

- 1** **INTERFACE: PRIOR TO 2010 CONFIRMATION FILE 4**
 - 1.1*** ***INTERFACE SUMMARY INFORMATION 4***
 - 1.2*** ***TRANSMISSION / DOWNLOAD DATA SET INSTRUCTIONS 4***
 - 1.3*** ***RECEPTION / UPLOAD DATA SET INSTRUCTIONS..... 5***
 - 1.4*** ***OTHER DESIGN INSTRUCTIONS 6***
 - 1.5*** ***FILE LAYOUT 6***

DUA QUEST

1 INTERFACE: PRIOR TO 2010 UI/UHI CONFIRMATION FILE

1.1 INTERFACE SUMMARY INFORMATION

| Interface Summary Information | | | |
|-------------------------------|--|-------------------------|-----|
| Interface Name | Prior to 2010 Confirmation File | Legacy System Reference | N/A |
| Purpose of Interface | The Prior to 2010 Confirmation file is created and sent to an Third Party Administrator (TPA) as a confirmation of receipt for a Prior to 2010 UI or UHI file. A confirmation file will be created for each UI or UHI file received Note: confirmation files will only be sent for UI and UHI file submission uploaded via FTP. | | |
| Trigger for Interface | Receipt of a prior to 2010 UI or UHI file | | |
| Pre-conditions | A TPA has submitted an Employment and Wage Detail file to the system via the FTP interface and the system has successfully received the file. | | |
| Post-conditions | The TPA will receive the confirmation file in their FTP folder | | |
| Frequency/Schedule | Daily | Real-time? | No |
| Directional | Unidirectional | | |
| Type of data exchanged | Employment and wage data for prior to 2010 File errors | | |

1.2 TRANSMISSION / DOWNLOAD DATA SET INSTRUCTIONS

Transmission / Download Data Set Instructions

DUA QUEST

| Transmission / Download Data Set Instructions | |
|--|---|
| What specific data needs to be included in the transmission / file? | <p>TPA information</p> <ol style="list-style-type: none"> 1. TPA Identification Number 2. Confirmation Number 3. Date 4. Time 5. Number of Records accepted <p>Employer Details</p> <ol style="list-style-type: none"> 6. Employer Account Number 7. Report Year/Quarter 8. Confirmation Number <p>Error Details</p> <ol style="list-style-type: none"> 9. Line Number 10. Employer Account Number 11. Error Message |
| How is this data retrieved? | TPA accesses the file in FTP folder |
| What is the file extension / format? | <ul style="list-style-type: none"> • .txt • .dat |
| Naming convention to be used | <p><<Input file name>>_MMDDYYYYHHMMSS.txt</p> <p>e.g., UHI_Agent_01062010201055.txt</p> |
| Specific steps required for transmission | Upon completion of batch to process Prior to 2010 UI and UHI employment and wage detail information submitted via FTP, the System returns confirmation to TPA FTP folder |
| Location for Output File | TPA FTP Folder |

1.3 RECEPTION / UPLOAD DATA SET INSTRUCTIONS

| Reception / Upload Data Set Instructions | |
|--|-----|
| What specific data needs to be included in the data reception / file? | N/A |

DUA QUEST

| Reception / Upload Data Set Instructions | |
|--|-----|
| How is this data inserted / updated to our database? | N/A |
| What is the file extension / format? | N/A |
| Naming convention expected | N/A |
| Archive policy for received files | N/A |
| Specific steps required for reception | N/A |
| Location Expected for Input file | N/A |

1.4 OTHER DESIGN INSTRUCTIONS

| Other Design Instructions | |
|--|--|
| What other information should the developer know about this interface that is pertinent to design? | The system will create a confirmation file for each UI or UHI file received for prior to 2010. |

1.5 FILE LAYOUT

| Field Name | Format | Logic/ Validation |
|-----------------------------------|---------------|--|
| Header 1 | Alpha/Numeric | h01 TPA information |
| TPA Identification Number (TPAID) | Alpha/Numeric | Display value from incoming file |
| Confirmation Number (ConfNo) | Numeric | If the file is rejected the error message will be displayed instead of the confirmation number (See Error table) |

DUA QUEST

| Field Name | Format | Logic/ Validation |
|--------------------------------------|----------------------|--|
| Interface Sequence Number (IntSeqNo) | Numeric | Identification number established when wage or adjustment file was submitted. |
| Date (Date) | Numeric MMDDCCYY | Date the incoming file was processed |
| Time (Time) | Numeric HHMMSS | Time the incoming file was processed |
| Number of records processed | Numeric | Number of employer records that were processed successfully (i.e. no fatal errors) |
| Header 2 | Alpha/Numeric | h02 Employer information |
| Employer Account Number (EAN) | Numeric | Display value from incoming file |
| Year/Quarter | Alpha/Numeric YYQ | Display value from incoming file |
| Report Quarter (RptQtr) | Numeric Q | Display value from incoming file |
| Confirmation Number (ConfNo) | Numeric | |
| Header Identifier | Alpha/Numeric | e01 Header for errors. This set of data will communicate the errors in the employment and wage detail file to the TPA |
| Line Number (LineNo) | Numeric | Line number of the fatal error |
| Employer Account Number (EmprAcctID) | Numeric | Display value from incoming file |
| Error Message (ErrorMes) | Alpha/Numeric | See table below for Error messages |

DUA QUEST

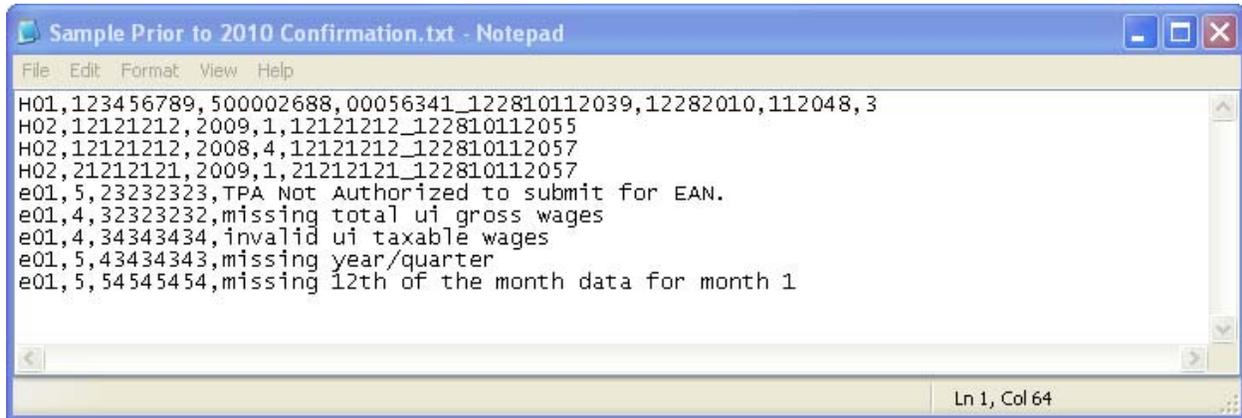
Error Messages

| Validation | Error Message |
|--|---|
| If txt file is empty | File cannot be blank. |
| If the user uploads a file type other than .txt, .dat or .zip | Invalid File Type or Extension. |
| If TPA account does not exist, the System will reject the file. | TPA account does not exist. |
| If TPA ID is invalid, the System will reject the file. | TPA ID is invalid ID. |
| If TPA ID is missing, the System will reject the file. | TPA ID is missing ID. |
| If TPA has delinquent employment and wage reports for two or more consecutive quarters the system will reject the file | Not authorized –TPA has delinquent employment and wage reports |
| If TPA has Delinquent debt of \$1,000 or more, the system will reject the file | Not authorized – TPA has Delinquent debt |
| If the EAN does not exist, the System will reject the record. | Employer Account does not exist. |
| If the EAN is ceased the System will reject the record. | Employer Account is ceased. |
| If the EAN is missing, the System will reject the record. | Employer Account Number is missing. |
| If the EAN is invalid, the System will reject the record. | Employer Account Number is invalid. |
| If the TPA is not authorized to submit employment and wages on behalf of the EAN | TPA Not Authorized to submit for EAN |
| If year/quarter are invalid reject record | Year and quarter are invalid |
| If year/quarter are missing reject record | Missing year/quarter |
| If quarter/year blocked for EAN due to an audit reject record | Quarter and Year not open for EAN due to audit |
| If missing Total UI Gross Wages reject record | Missing Gross Wages |
| If invalid Total UI Gross Wages reject record | Invalid Gross Wages |
| If missing UI or UHI Taxable Wages reject record | Missing <UI or UHI> Taxable Wages |
| If invalid Total UI or UHI Taxable Wages reject record | Invalid <UI or UHI> Taxable Wages |
| Missing 12 th of the Month Employment Data for Month 1,2, and/or 3 | Missing 12 th of the month employment data for Month <1,2, |

DUA QUEST

or 3>

Sample File:



The screenshot shows a Notepad window titled "Sample Prior to 2010 Confirmation.txt - Notepad". The window contains the following text:

```
H01,123456789,500002688,00056341_122810112039,12282010,112048,3  
H02,12121212,2009,1,12121212_122810112055  
H02,12121212,2008,4,12121212_122810112057  
H02,21212121,2009,1,21212121_122810112057  
e01,5,23232323,TPA Not Authorized to submit for EAN.  
e01,4,32323232,missing total ui gross wages  
e01,4,34343434,invalid ui taxable wages  
e01,5,43434343,missing year/quarter  
e01,5,54545454,missing 12th of the month data for month 1
```

The status bar at the bottom right of the Notepad window indicates "Ln 1, Col 64".