

# UI SIDES

## Separation Information Data Exchange System

### Rules and Requirements

## Separation Information Data Exchange System (SIDES)

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### REQUIREMENTS BASELINE

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## Revision History

Date	Version	Description	Author
02/21/2008	1	Initial Draft	Lou Ansaldi (ITSC), Jason Holzbach
03/04/2008	2	Updated	Lou Ansaldi (ITSC), Jason Holzbach
03/07/2008	3	Updated with Consortium comments: Deleted Items: 1, 6 Added new items: 49, 79, 80, 97, 98 Modified previously existing items: 51, 53, 88, 108, 115	Lou Ansaldi (ITSC), Jason Holzbach
03/31/2008	10 Requirements Review Draft	Marked each requirement that affects the Endpoint(s) requirements Bumped version Number to Version 10, to bring all documents to same version number for requirements review	David Zemel (ITSC), Colin Lennox (ITSC)
4/7/08	11	Updated after Consortium Review	Lou Ansaldi (ITSC), Jason Holzbach
4/9/08	13	Added Business Rules 8 - 11 to address the new columns added to Appendix E Added new business rule 46, 47 due to discussions with Consortium Updated Message Codes to maintain consistency between Codes in 86 and 87 due to discussions with Consortium Updated version number to Version 13 for Final Review Draft	Lou Ansaldi (ITSC), Jason Holzbach
4/14/08	14	Added rule 99 Reconstituted rule 7 with the agreed upon values that the Broker will check against Added rule 123 REQUIREMENTS BASELINE ISSUE	Lou Ansaldi (ITSC), Jason Holzbach
5/6/08	15	SIGNED OFF VERSION	Lou Ansaldi (ITSC), Jason Holzbach
7/3/08	16	Updated version number to Version 16 for updated Requirements Baseline reflecting approved changes from CCB #1 document.	Lou Ansaldi (ITSC), Jason Holzbach

Version 18 – Requirements Baseline – 12-24-2008

		<p>Changes included in this document are:</p> <p>Added Rule 134</p> <p>During the design phase, it was determined that a new business rule should exist for the Response record. This business rules states: The system shall validate for the following Business Rule on the Response Record – AmendedResponseDescription (Character – Size 2000) cannot be empty when AmendedResponse is not null.</p>	
7/24/08	17	<p>Updated version number to Version 17 for updated Requirements Baseline reflecting approved changes from CCB #2 document.</p> <p>Changes included in this document is:</p> <p>Updated Business Rule#4 to match Appendix E, per CCB#2 agreement.</p>	Colin Lennox (ITSC), Jason Holzbach
12/24/08	18	<p>Updated version number to Version 18 for updated Requirements Baseline reflecting approved changes from CCB #3 document.</p> <p>Changes included in this document is:</p> <p>Updated Business Rules #92 and #103, and added new Business Rule #135, to match Appendix E, per CCB#3 agreement.</p>	Colin Lennox (ITSC), Jason Holzbach

1. ~~The system shall validate for the following Business Rule on the Request Record – The SSN is invalid (goes beyond the XSD record validation process)~~
2. The system shall validate for the following Business Rule on the Request Record – There is no Employer URI lookup [Affects Endpoint(s) Requirements]
3. The system shall validate for the following Business Rule on the Request Record – There must be a value (Character – Size 32) in the StateRequestRecordGUID [Affects Endpoint(s) Requirements]
4. The system shall validate for the following Business Rule on the Request Record – There must be a value (Date) in WagesNeededBeginDate if WagesWeeksNeededCode (A-22) is ‘WW’ or ‘WO’. [Affects Endpoint(s) Requirements]
5. The system shall validate for the following Business Rule on the Request Record - There must be a value (Date) for WagesNeededEndDate if WagesWeeksNeededInd = *WO/WW* [Affects Endpoint(s) Requirements]
6. ~~The system shall validate for the following Business Rule on the Response Record – The SSN is invalid (goes beyond the XSD record validation process)~~
7. The system shall validate for the following Business Rule on the Response Record – There is no matching request record with fields matching A1 to B1, A2 to B2, A3 to B3, A4 to B4, the StateRequestRecordGUID, and the BrokerRecordTransactionNumber.
8. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1) for TotalEarnedWagesNeededInd if WagesWeeksNeededInd = *WO/WW* (from Request) [Affects Endpoint(s) Requirements]
9. The system shall validate for the following Business Rule on the Response Record - There must be a value (Numeric – Size 15.2) for TotalEarnedWages if TotalEarnedWagesNeededInd = 1 for *Wages are Available* [Affects Endpoint(s) Requirements]
10. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1) for TotalWeeksWorkedNeededInd if WagesWeeksNeededInd = *WW* (from Request) [Affects Endpoint(s) Requirements]
11. The system shall validate for the following Business Rule on the Response Record - There must be a value (Numeric – Size 2) for TotalWeeksWorked if TotalWeeksWorkedNeededInd = 1 for *Weeks are Available* [Affects Endpoint(s)]

Requirements]

12. The system shall validate for the following Business Rule on the Response Record - There must be a value (Numeric – Size 2) for NumberOfHoursWorkedAfterClaimEffectiveDate if WagesEarnedAfterClaimEffectiveDate > 0 [Affects Endpoint(s) Requirements]
13. The system shall validate for the following Business Rule on the Response Record - There must be a value (Numeric – Size 15.2) for AverageWeeklyWages if remuneration included [Affects Endpoint(s) Requirements]
14. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for ReturnToWorkInd if EmployerSepReasonCode is 4 for *Vacation/Holiday Shutdown* or is 7 for *School Employee Between Semesters or Terms, Likely to Return* or is 17 for *Professional Athlete Between Sports Seasons* or is 1 for *Temporary Layoff* or is 15 for *Disciplinary Suspension* [Affects Endpoint(s) Requirements]
15. The system shall validate for the following Business Rule on the Response Record – There must be a value (Date) for ReturnToWorkDate if ReturnToWorkInd = ‘Y’. [Affects Endpoint(s) Requirements]
16. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for WorkingAllAvailableHoursInd if EmployerSepReasonCode is 11 for *Still Employed, Hours Reduced by Employer* Also accept 99 = *Not Provided* [Affects Endpoint(s) Requirements]
17. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character –Size 500) for NotWorkingAvailableHoursReason if WorkingAllAvailableHoursInd = N [Affects Endpoint(s) Requirements]
18. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values S|L) for LaborDisputeTypeInd if EmployerSepReasonCode is 16 for *Labor Dispute* [Affects Endpoint(s) Requirements]
19. The system shall validate for the following Business Rule on the Response Record - There must be a value (Date) for AllocationBeginDate if EmployerAllocationCode is Y [Affects Endpoint(s) Requirements]
20. The system shall validate for the following Business Rule on the Response Record - There must be a value (Date) for AllocationEndDate if

EmployerAllocationCode is Y [Affects Endpoint(s) Requirements]

21. The system shall validate for the following Business Rule on the Response Record - There must be a value (Numeric – Size 3) for AverageNumberHoursWorkedPerWeek if renumeration included [Affects Endpoint(s) Requirements]
22. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for MandatoryRetirementInd if EmployerSepReasonCode = 14 for *Retirement* [Affects Endpoint(s) Requirements]
23. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for MandatoryPension if any entry for RenumerationTypeCode = 5 for *Pension* [Affects Endpoint(s) Requirements]
24. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for ContributoryOrNotContributoryClaimantInd if any entry for RenumerationTypeCode = 5 for *Pension* [Affects Endpoint(s) Requirements]
25. The system shall validate for the following Business Rule on the Response Record - There must be a value (Numeric – Size 3) for ClaimantPensionContributionPercent if ContributoryOrNotContributoryClaimantInd is Y [Affects Endpoint(s) Requirements]
26. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1000) for EmployerSepReasonComments if EmployerSepReasonCode is other than 3 for *Discharged* or 6 for *Voluntary Quit* [Affects Endpoint(s) Requirements]
27. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 2 – Value 1-8 or 99) for DischargeReasonCode if EmployerSepReasonCode is 3 for *Discharged* or 5 for *Asked to Resign* [Affects Endpoint(s) Requirements]
28. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1000) for FinalIncidentReason if DischargedReasonCode is 2-8 [Affects Endpoint(s) Requirements]
29. The system shall validate for the following Business Rule on the Response Record - There must be a value (Date) for FinalIncidentDate if FinalIncidentReason is completed [Affects Endpoint(s) Requirements]

30. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for ViolateCompanyPolicyInd if DischargeReasonCode is 2-8 [Affects Endpoint(s) Requirements]
31. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for DischargePolicyAwareInd if ViolateCompanyPolicyInd if Y [Affects Endpoint(s) Requirements]
32. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values W|V) for DischargePolicyAwareExplanationCode if ViolateCompanyPolicyInd if Y [Affects Endpoint(s) Requirements]
33. The system shall validate for the following Business Rule on the Response Record - There must be a value (Date) for PriorIncidentWarningDate if PriorIncidentWarningInd is Y [Affects Endpoint(s) Requirements]
34. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1000) for PriorIncidentWarningDescription if PriorIncidentWarningInd is Y [Affects Endpoint(s) Requirements]
35. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 60) for WhoDischargedName if DischargeReasonCode is included [Affects Endpoint(s) Requirements]
36. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 60) for WhoDischargedTitle if DischargeReasonCode is included [Affects Endpoint(s) Requirements]
37. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1000) for DischargeReasonComments if DischargeReasonCode is 8 for *Other* [Affects Endpoint(s) Requirements]
38. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values 1-10 or 99) for VoluntarySepReasonCode if EmployerSepReasonCode is 6 for *Voluntary Quit* [Affects Endpoint(s) Requirements]
39. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values 1-6)for HiringAgreementChangeCode if VoluntarySepReasonCode is 9 for *Working*

*Conditions* [Affects Endpoint(s) Requirements]

40. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1000) for HiringAgreementChangeComments if HiringAgreementChangeCode is 1-6 [Affects Endpoint(s) Requirements]
41. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for ClaimantActionsAvoidQuitInd if VoluntarySepReasonCode is included [Affects Endpoint(s) Requirements]
42. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1000) for ActionTakenComments if VoluntarySepReasonCode is included and if ClaimantActionsToAvoidQuitInd = Y [Affects Endpoint(s) Requirements]
43. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1 – Values Y|N) for ContinuingWorkAvailableInd if VoluntarySepReasonCode is included [Affects Endpoint(s) Requirements]
44. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 1000) for VoluntarySepReasonComments if VoluntarySepReasonCode is 10 for *Other* [Affects Endpoint(s) Requirements]
45. The system shall validate for the following Business Rule on the Response Record - There must be a value (Character – Size 60) for PreparerCompanyName if PreparerTypeCode = T for *Third Party Administrator* [Affects Endpoint(s) Requirements]
46. The system shall validate for the following Business Rule on the Response Record – If PreparerTypeCode is "E" for employer, then valid EmployerSepReasonCode (B-20) codes are 1-20 or 99. If PreparerTypeCode is "T" for Third Party Administrator then valid EmployerSepReasonCode (B-20) codes are 1-21 or 99.
47. The system shall validate for the following Business Rule on the Response Record – If the value for EmployerSepReasonCode is 21 *for TPA does not represent this employer* then the value for PreparerTypeCode must be T for *Third Party Administrator*.
48. A SOAP file will contain a header and a payload. [Affects Endpoint(s) Requirements]

49. A SOAP payload will contain a request or response file and associated attachments. [Affects Endpoint(s) Requirements]
50. The SOAP header shall contain the security package information. [Affects Endpoint(s) Requirements]
51. The SOAP header shall contain a File Message Code. [Affects Endpoint(s) Requirements]
52. A Request/Response file will contain 1 to n number of records. [Affects Endpoint(s) Requirements]
53. The Request/Response file sizing is referenced in the Supplemental Specifications document. [Affects Endpoint(s) Requirements]
54. A Request Record from a State must include a unique StateRequestRecordGUID (e.g. GUID) to uniquely define the transaction. [Affects Endpoint(s) Requirements]
55. A Request File from a State must contain only one Employer/TPA that all the records in a file get routed to. [Affects Endpoint(s) Requirements]
56. The State shall include that employer in the header of the SOAP message. (concept is to put it in a To: field of the header) [Affects Endpoint(s) Requirements]
57. A Response File from an Employer/TPA must contain only one State that all the records in a file get routed to. [Affects Endpoint(s) Requirements]
58. The Employer/TPA shall include that State in the header of the SOAP message. (concept is to put it in a To: field of the header) [Affects Endpoint(s) Requirements]
59. A unique BrokerRecordTransactionNumber gets assigned to a record by the broker when it first enters the system from the State.
60. The BrokerRecordTransactionNumber is for internal record keeping purposes but must be maintained throughout the lifetime of that record and all subsequent responses to that record in order to maintain proper association between requests and responses. (BrokerRecordTransactionNumber used for reporting purposes)
61. All records bundled in a file for transport to the Employer/TPA get an EmployerSOAPTransactionNumber identifier. This number is related to resend. [Affects Endpoint(s) Requirements]

62. The EmployerSOAPTransactionNumber is placed in the header of the SOAP message to the Employer/TPA. [Affects Endpoint(s) Requirements]
63. All records bundled in a file for transport to the State get a StateSOAPTransactionNumber identifier. [Affects Endpoint(s) Requirements]
64. The StateSOAPTransactionNumber is placed in the header of the SOAP message to the State. [Affects Endpoint(s) Requirements]
65. The State and Employer/TPA shall have the ability to Post a file to the broker. [Affects Endpoint(s) Requirements]
66. The State and Employer/TPA shall have the ability to Pull a file from the broker. [Affects Endpoint(s) Requirements]
67. The State shall have the ability to re-Pull a file from the broker by sending the StateSOAPTransactionNumber. [Affects Endpoint(s) Requirements]
68. The Employer/TPA shall have the ability to re-Pull a file from the broker by sending the EmployerSOAPTransactionNumber. [Affects Endpoint(s) Requirements]
69. The State and Employer/TPA shall have the ability to re-Pull a file from the broker by Date. [Affects Endpoint(s) Requirements]
70. The ability to re-Pull a file is only available while the file is maintained on the broker which is determined by the purge policy. [Affects Endpoint(s) Requirements]
71. The State and Employer/TPA shall have the responsibility to send an acknowledgement that they received the file to the broker. [Affects Endpoint(s) Requirements]
72. The Broker shall have the ability to Push a file to an Employer/TPA that has a web service. [Affects Endpoint(s) Requirements]
73. A WSDL file shall be given to the State that defines the communication between itself and the Broker. [Affects Endpoint(s) Requirements]
74. A WSDL file shall be given to the Employer/TPA that defines the communication between itself and the Broker. [Affects Endpoint(s) Requirements]
75. An XSD file shall be given to the State that defines the XML for a Request File used in the Post. [Affects Endpoint(s) Requirements]

- 76. An XSD file shall be given to the State that defines the XML for an Acknowledgement File from the Post. [Affects Endpoint(s) Requirements]
- 77. An XSD file shall be given to the State that defines the XML for a Response File from the Employer/TPA. [Affects Endpoint(s) Requirements]
- 78. An XSD file shall be given to the State that defines the XML for an Acknowledgement File from a Pull. [Affects Endpoint(s) Requirements]
- 79. An XSD file shall be given to the Employer/TPA that defines the XML for a Request File used in the Pull. [Affects Endpoint(s) Requirements]
- 80. An XSD file shall be given to the Employer/TPA that defines the XML for an Acknowledgement used from a Pull. [Affects Endpoint(s) Requirements]
- 81. An XSD file shall be given to the Employer/TPA that defines the XML for a Response File used in the Post. [Affects Endpoint(s) Requirements]
- 82. An XSD file shall be given to the Employer/TPA that defines the XML for an Acknowledgement used from a Post. [Affects Endpoint(s) Requirements]
- 83. An XSD file shall be given to the Employer/TPA that defines the XML for a Push. [Affects Endpoint(s) Requirements]
- 84. An XSD file shall be given to the Employer/TPA that defined the XML for an Acknowledgement used from a Push. [Affects Endpoint(s) Requirements]
- 85. The File Message in the SOAP header shall contain the following codes on a Pull: [Affects Endpoint(s) Requirements]

Code	Message	Notes
1	File Contained in Payload	The file is contained in the payload of the SOAP Message
2	End Of Files	The are no files available to download

- 86. The File Message Codes in the SOAP header on Acknowledgments from Broker on a Post: [Affects Endpoint(s) Requirements]

Code	Message	Notes
1	File Success	Successful Transmission, No Rejects
2	File Failure	XML Malformed, Cannot Decrypt, etc
3	File Success with Rejected	Rejected Records Included

	Records	
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87. The File Message Codes in the SOAP header on Acknowledgements from State/Employer/TPA on a Pull: [Affects Endpoint(s) Requirements]

Code	Message	Notes
1	File Success	Successful Transmission
2	File Failure	XML Malformed, Cannot Decrypt, etc

88. The State and Employer/TPA shall have the ability to send a record multiple times, allowing duplicates of the same record. [Affects Endpoint(s) Requirements]
89. The broker shall store all applicable dates on each one and pass them on to the required endpoint. Duplicate processing is responsibility of the endpoint. [Affects Endpoint(s) Requirements]
90. The Employer/TPA shall not have to have a 1 to 1 response of every transaction sent to it as agreed upon with the State. [Affects Endpoint(s) Requirements]
91. In cases of a missing response, even if it is agreed upon with the State, the Broker shall still report on the missing response as if it were missing because the broker has no knowledge of prior state/employer agreements. This is reporting information only and will not affect any system processing.
92. All dates in the system will be displayed on the Web as Eastern. [Affects Endpoint(s) Requirements]
93. The Broker shall record the start time of a Push transaction for reporting purposes.
94. The Broker shall record the end time of a Push transaction which becomes the date of record for sending the file to an Employer/TPA.
95. The Broker shall record the start time of a Pull transaction for reporting purposes.
96. The Broker shall record the end time of a Pull transaction which becomes the date of record for sending to the State/Employer/TPA.
97. The Broker shall record the Post start time for reporting purposes.
98. The Broker shall record the Post end time, which shall become the date of record for receiving the record from the State/Employer/TPA. [Affects Endpoint(s) Requirements – POLICY ISSUE]
99. The Broker shall retain valid data records for 7 calendar days.

100. All data records are purged from the system 7 calendar days after acknowledgement. (This does not include reporting data). (Consortium recommended at kick off). [Affects Endpoint(s) Requirements]
101. The State/Employer/TPA/Broker shall set a timeout value of 15 minutes for receiving acknowledgement of a sent file. [Affects Endpoint(s) Requirements]
102. The Broker shall delete the incoming file if it knows it cannot send an acknowledgement on a Post. An example of situations where this would occur would be if the web service call is terminated.
103. All endpoints shall resend a file when no acknowledgement is received up to maximum of 2 times (for a total of 3 attempts at sending the file). After three times, the system shall notify the Broker Administrator to begin manual error processing. [Affects Endpoint(s) Requirements]
104. The system shall contain two types of logging, system logging and application logging.
105. The System logging shall create logs of the execution of the system.
106. System logging shall be used for execution error determination.
107. Application logging shall utilize the database.
108. Application logging shall be used for reports and auditing.
109. ~~When the State/Employer/TPA updates the URI through the web site, the Broker shall ping that URI for discovery purposes and report back its findings to the user. [Affects Endpoint(s) Requirements]~~
110. The State/Employer/TPA shall utilize Customer Service to add, update or delete a user. It can be done by an administrator at the consortium but will have to have strict processes and policies.
111. ~~The State/Employer/TPA shall utilize Customer Service to add, update or delete an organization.~~
112. ~~The State/Employer/TPA shall provide Customer Service with a username, email address, role, date expired, full name, organization and address for a given user. Need to discuss final attributes,~~
113. ~~The State/Employer/TPA shall provide Customer Service with an organization name, address, state doing business in. [Affects Endpoint(s) Requirements—POLICY ISSUE] Need to discuss final attributes.~~

114. Passwords created with a new user or changed by Customer Service shall be required to be changed on the next successful login.
115. Password shall be between 8 – 32 characters long.
116. The password shall contain a combination of lower case, upper case and digits at a minimum.
117. Passwords shall be changed at least once a quarter.
118. User accounts shall be locked if there are 5 consecutive failed attempts on the users password.
119. Passwords cannot be reused for 5 consecutive iterations of password changes.
120. The Connector Table can be updated by the State and the Employer/TPA for their own record.
121. A Connector Table shall contain the unique reference number for routing to an employer, the State, the URI, the Employer/TPA Name, a Date to become active, and a Date to become inactive. Need to discuss attributes in Design.
122. Broker will integrate with NetIQ to send out alerts to Data Center Enterprise Control Center.
123. The broker shall validate that a response record comes from the same connector that the request was sent to.
124. The broker shall validate that a response record is returned to the same connector that the request was sent from.
125. The system shall validate for the following Business Rule on the Response Record – EmployerReportedClaimantFirstDayofWork (Date) must be in the past.
126. The system shall validate for the following Business Rule on the Response Record – EmployerReportedClaimantFirstDayofWork (Date) must be before or equal to EmployerReportedClaimantLastDayofWork
127. ~~The system shall validate for the following Business Rule on the Response Record – EmployerReportedClaimantLastDayofWork (Date) must be in the past~~
128. The system shall validate for the following Business Rule on the Response Record – EmployerReportedClaimantLastDayofWork (Date) must be after or equal to EmployerReportedClaimantFirstDayofWork

129. ~~The system shall validate for the following Business Rule on the Response Record – EffectiveSeparationDate (Date) must be in the past~~
130. The system shall validate for the following Business Rule on the Response Record – ReturnToWorkDate (Date) must be after ClaimEffectiveDate
131. The system shall validate for the following Business Rule on the Response Record – FinalIncidentDate (Date) must be in the past
132. The system shall validate for the following Business Rule on the Response Record – PriorIncidentDate (Date) must be in the past
133. The system shall validate for the following Business Rule on the Response Record – PriorIncidentWarningDate (Date) must be in the past
134. The system shall validate for the following Business Rule on the Response Record – AmendedResponseDescription (Character – Size 2000) cannot be empty when AmendedResponse is not null.
135. Business Rule violation - EffectiveSeparationDate (Date) must be after or equal to EmployerReportedClaimantFirstDayofWork.

The timeout value on an acknowledgement is configurable and applies to the system as a whole and not to an individual connector.