ATTACHMENT

xerox

California LifeLine Program
Specifications Document

Direct Application Forms

November 1, 2012
Version 23.0

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Background

On July 12, 2012, the California Public Utilities Commission (CPUC or Commission) adopted Resolution T-17366 - Modifications to the California LifeLine Program Rules - General Order (GO) 153, in compliance with the Federal Communication Commission's (FCC) LifeLine/Link-up Reform Order (FCC 12-11).

In this Resolution, the CPUC modifies a number of California LifeLine Program (CA LifeLine) rules and procedures as set forth in GO 153 in order to comply with the recently adopted FCC 12-11, including offering other, additional means for consumers, carriers, and community-based organizations (CBOs) to acquire, complete and submit applications.

Objectives

- To meet the requirements of Resolution T-17366 (T-17366);
- To develop a process that allows eligible telecommunications carriers (ETCs) to
  - (a) provide state-approved applications directly to consumers requesting either the CA LifeLine discount or federal Lifeline and
  - (b) assist them with completing and submitting the consumers' applications to the CA LifeLine Administrator (Xerox) through ETCs;
- To develop a consumer-oriented process that allows ETCs to improve access to telecommunications to eligible Californians who do not yet have computers, scanners, or the Internet and to facilitate consumer ease of identifying and obtaining the FCC-required supporting documents that now must be submitted with the application forms to qualify;
- To implement the required changes of T-17366 with the least disruption to administration and access to discounts and to facilitate smooth implementation and increased access by allowing ETCs to directly offer the application form to eligible consumers, while leaving undisturbed the ability of the third-party Administrator to verify eligibility and the authorized service areas of ETCs; and
- To pilot a means for ETCs and consumers to have additional, more direct and faster access to needed telecommunications services by providing additional means for consumers to obtain forms aside from getting them from the California LifeLine Administrator.

Revisions

- 10/01/12 –
  - Added TTYQualifiedSecondLine parameter to *CheckCustomerStatus*
  - Removed BillingName parameter from *DirectApplicationRequest.*
  - Changed the NameSuffix parameter to be an optional parameter under *CheckCustomerStatus* method.

    - Added Status Code 3 to the response for *CheckCustomerStatus*
- 10/4/12 –
    - Revised Description for error code -1010 under the *CheckApplicationPrintStatus* method
    - Response xml elements in *CheckApplicationPrintStatus* have been changed to match the same xml pattern as the other web methods. Error Code, Error Description, Status Code, and Status Description have been added as elements to the response.
    - Error Codes -1007 and -1008 have been deprecated from *DirectApplicationRequest* web method.
    - Revised Description for error code -1006 under the *CheckCustomerStatus* method
- 10/8/12 –
    - For the metadata file format, specified that columns need to be pipe-delimited and rows need to be delimited by a carriage return
    - Specified metadata file mask to be DAP_MetaData_OCN_MMDDYYY_HHMMSS.txt
    - Added OCN to the soap header that will be required by all Xerox's web services.
    - Step 4 – added status code 47 on the return feed if the metadata includes a PDF file name that has not yet been received.

- 10/12/12 –
    - Added error code -1007 – OCN missing from SOAP header during SOAP header validation.
    - Updated error code -1010 on *CheckApplicationPrintStatus* method's error messages to -1006 to be consistent with the other methods.
- 10/15/12 –
    - *DirectApplicationRequest* web method's input field – Rate group's length is updated to String(50) instead of the earlier String(1).
- 10/17/2012 –
    - CheckApplicationPrintStatus has new error code (-1010) – "no results found for this document id or transaction id"
- 10/19/2012 –
    - *ModifiedEffectiveDate* of *DirectApplicationRequest* method was not a required field in the web service call but was documented here as required. So updating the doc to match the actual web service definition.
    - Added error codes for CustomerCallback method.
- 10/22/2012 –
    - Added status code "2" (DAP app converted to standard app) for *CheckApplicationPrintStatus* method's response.
    - *CustomerCallback* method's ReponseXml is now used to notify if the DAP application is converted to Standard application.
    - Added error code -1008 to *CustomerCallback* method's response.
- 10/26/2012 –
    - Added return codes for the DAP metadata result.
    - Added note – DAP metadata file should not include headers.

- 11/01/2012 –
  - DAP metadata field #44 updated to reflect that is should be Document ID.

Project Implementation Schedule

T-17366 allotted 90 days as the implementation period. The implementation deadline will be November 1, 2012 for some of the pilot carriers. Implementation tasks are outlined below:

Date	Task
7/12/12	Resolution passed by Commission
7/30/12	Direct Application Workshop I
8/30/12	Distribute specification document I
9/10/12	Distribute specification document II
9/11/12	Direct Application WebEx
9/25/12	Direct Application Workshop II
9/27/12	WSDL Files Provided to Carrier
9/28/12	Updated specification document II
10/1/12	Stubbed Web Service Available
10/7/12	PDF composition development complete
10/7/12	Web service development complete
10/7/12	Database development complete
10/7/12	Meta data process dev. complete
10/8/12-10/14/12	Unit testing
10/15/12-10/31/12	Integration testing
10/19/12 (tentative)	Carrier Training
11/1/12	Pilot Implementation

Solution Overview

The initial phase of the Direct Application project of Resolution T-17366 is limited to a web service Application Programming Interface (API) solution that will allow ETCs to submit, update, or remove applicants in real time and receive a pre-populated PDF copy of the application form. ETCs utilizing the direct application process will be able to assist their customers with completing and returning the application form and to ensure proper supporting documentation, such as proof of eligibility, is provided. ETCs participating in the pilot program are responsible for providing Xerox with an image copy of the completed application, metadata from the application form in plain text format, and an electronic copy of eligibility documentation.

The solution is limited to wireless ETCs for Phase I. During Phase II, other service providers may opt in to the direct application process.

Appendix A provides workflow diagrams of the Direct Application Processes.

Xerox will provide ETCs the option of submitting new customer records through a web service API in order to receive near-real time feedback in the form of an error response or a pre-populated PDF version of the initial application that is currently mailed to applicants. To use this solution, ETCs will access the web service API provided by Xerox and submit all the required customer data fields currently required in the daily carrier upload file. A list of the required and optional fields is listed in *Step 1: Direct Data Submission Feed* section below.

When an ETC submits a data record to Xerox through the published web service, Xerox first validates the data using the existing CA LifeLine Program validation rules. If the record passes validation, Xerox will generate a pre-populated PDF image of the application form and the ETC will be able to retrieve that form from the CA LifeLine Administrator's hosted, secure web server. The web service responds synchronously to the initial web service call, providing the file name and location of the PDF image file. If the new application record fails validation, the web service will respond with the appropriate error code. The error codes used in this process will exactly match the error codes used in the daily carrier upload file process today.

Step 1: Web services specification

The Direct Application API exposes a set of web methods that allow for asynchronous calls which implements a callback design pattern. Each web method will require soap headers which will be utilized to authenticate each web request. To begin the chain of events, each carrier must make a call to the *CheckCustomerStatus* method. This first method will inform the carrier if the inbound request would be treated as a transfer transaction, reconnect transaction, or as a new customer transaction. Once the carrier understands the status of the customer, a second call needs to be made to the *DirectApplicationRequest* method. In the case of successful transfers and reconnects, the caller will only receive a corresponding status code and the transaction id that was passed on the soap header. If a new customer was created, a document id will also be received as part of the response which will be used to uniquely identify the new customer's application.

After the second web method call, all new customer records will have an application record on a queue that will be further delegated to another sub-process for generation of the application PDF. Upon generation of the PDF, a callback will be made to each of the carrier's web method to alert the carrier of the FTP location of the file. Each carrier will provide Xerox with the corresponding user credentials which will be included in the call back method in order to authenticate the web request.

The objective is to have the entire round trip duration to be within a minute of the *CheckCustomerStatus* call. The carrier may choose to make calls to Xerox to request a status on any of the customers that where pending the generation of the PDF by using the original transaction id that was used to create the customer or by passing the document id which was returned when calling the *DirectApplicationRequest* method.

Below are the specifics about each method which include soap headers, input parameters, and return results. **All input parameters highlighted in blue are required.**

Web service name: DirectApplicationWrapperService **Dev Url:** http://65.199.152.100/DirectApplicationService/DirectApplicationWrapperService.asmx
Prod Url: http://65.199.152.99/DirectApplicationService/DirectApplicationWrapperService.asmx
Soap Header name: DirectApplicationRequestSoapHeader

Soap Header properties for all web methods:

Username	DataType	Comments
Username	String (50)	this will be the service account assigned by Xerox
Password	String (12)	this will be the password assigned by Xerox
TransactionID	String (50)	this will be a unique transaction id generated by the carriers to uniquely identify each request for each carrier OCN
OCN	String (4)	Operating Company Number

Web methods:

1. **Name:** CheckCustomerStatus
   Soap Header required: Yes
   Return type: string (xml)

Input parameters:

Name	Type	Comments
OCN	String (4)	Operating Company Number
UltsTelephoneNumber	String (10)	Customer ULTS Phone Number
NamePrefix	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
FirstName	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
Initials	String	If customer is a transfer or reconnect, the value in this field

	(50)	must match the existing name part on the database
LastName	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
NameSuffix	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
ServiceAddress1	String (100)	It is recommended that all address parts be parsed into its corresponding fields.
ServiceAddress2	String (100)	Use this field if Service Address 1 is longer than 100 characters
ServiceAddressCity	String (50)	It is recommended that all address parts be parsed into its corresponding fields.
ServiceAddressState	String (2)	It is recommended that all address parts be parsed into its corresponding fields.
ServiceAddressZip5	String (5)	It is recommended that all address parts be parsed into its corresponding fields.
ServiceAddressZip4	String (4)	It is recommended that all address parts be parsed into its corresponding fields.
PriorUltsTelephoneNumber	String (10)	In the case of a transfer customer, this value would be used to match the existing customer's account with Xerox
TTYQualifiedSecondLine	String (1)	Y = The ULTS Telephone Number refers to a TTY Line N = The ULTS Telephone Number does not refer to a TTY Line Default is N if left empty or null
ActivityType	String (1)	N – New Customer Transaction. All other transaction Types maybe supported at a later time.

Output Parameters: string (xml)

Sample xml:

```
<CustomerStatusResponse>
    <Error Code></Error Code>
    <Error Description></Error Description>
    <Status Code>0</Status Code>
    <Status Description> Customer will be treated as new customer
    </Status Description>
</CustomerStatusResponse>
```

Result codes:

Error Code	Error Description	Comments
-1001	Soap Header cannot be null	Status will be blank
-1002	Invalid soap header – username is null	Status will be blank
-1003	Invalid soap header – password is null	Status will be blank
-1004	Invalid soap header – transaction id is null	Status will be blank
-1005	Username and password combination does not exist. Please verify your credentials and try again.	Status will be blank
-1006	There was a system error while querying the customer's information. Please try again.	Status will be blank
-1007	Invalid soap header – OCN is null	Status will be blank
Status Code	**Status Description**	**Comments**
0	Customer will be treated as new customer	Error will be blank
1	Customer will be treated as reconnect.	Error will be blank
2	Customer will be treated as transfer.	Error will be blank
3	Customer already exists with carrier	Error will be blank

2. **Name**: DirectApplicationRequest

Soap Header required: Yes
Return type: string (xml)

Input parameters

Name	Type	Comments
OCN	String (10)	Operating Company Number
SubscriberAccountNumber	String (50)	Carrier's Unique ID for customer, if applicable
CustomerCode	String (50)	Additional Carrier Identifier
ULTSTelephoneNumber	String (10)	Customer ULTS Phone Number
NamePrefix	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
FirstName	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
Initials	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
LastName	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
NameSuffix	String (50)	If customer is a transfer or reconnect, the value in this field must match the existing name part on the database
ServiceAddress1	String (100)	It is recommended that all address parts be parsed into its corresponding fields.
ServiceAddress2	String (100)	Use this field if Service Address 1 is longer than 100 characters
ServiceAddressCity	String (50)	It is recommended that all address parts be parsed into its corresponding fields.
ServiceAddressState	String (2)	It is recommended that all address parts be parsed into its corresponding fields.
ServiceAddressZip5	String (5)	It is recommended that all address parts be parsed into its corresponding fields.
ServiceAddressZip4	String (4)	It is recommended that all address parts be parsed into its corresponding fields.
BillingFirstName	String (50)	If Billing Name is empty this must supplied
BillingInitial	String (50)	
BillingLastName	String (50)	If Billing Name is empty this must supplied
BillingAddress1	String (100)	It is recommended that all address parts be parsed into its corresponding fields.
BillingAddress2	String (100)	It is recommended that all address parts be parsed into its corresponding fields.
BillingAddress3	String (100)	It is recommended that all address parts be parsed into its corresponding fields.
BillingAddress4	String (100)	It is recommended that all address parts be parsed into its corresponding fields.
BillingAddress5	String (100)	It is recommended that all address parts be parsed into its corresponding fields.
BillingCity	String (50)	It is recommended that all address parts be parsed into its corresponding fields.
BillingStateCode	String (2)	It is recommended that all address parts be parsed into its corresponding fields.
BillingZip5	String (5)	It is recommended that all address parts be parsed into its corresponding fields.
BillingZip4	String (4)	It is recommended that all address parts be parsed into its corresponding fields.
ContactPhoneNumber	String (10)	

LanguageCode	String (2)	1 = English 2 = Spanish 3 = Chinese 4 = Korean 5 = Japanese 6 = Vietnamese
BrailleLargeFont	String (1)	B = Braille L = Large Font If neither supply a blank value
ULTSServiceStartDate	String (mmddyyyy)	This date represents the date that the LifeLine application request was started by the carrier, not the date that the customer joined the carrier.
ULTSRecertificationDate	String (mmddyyyy)	NOT USED
PriorUltsTelephoneNumber	String (10)	In the case of a transfer customer, this value would be used to match the existing customer's account with Xerox
DisconnectDate	String (mmddyyyy)	
TTYQualifiedSecondLine	String (1)	Y = The ULTS Telephone Number refers to a TTY Line N = The ULTS Telephone Number does not refer to a TTY Line Default is N if left empty or null
ActivityType	String (1)	**N** = New (Available on 11/01/12) – this can be used to create new customers, transfers or reconnects **T** = Transfer from other Carrier (not yet available) **U** = Update (not yet available) **R** = Remove Customer from Program (not yet available) **D** = Disocnnect (not yet available)
TribalLand	String (1)	Y = Yes N = No Default is N if empty
ServiceType	String (1)	F = Flat M = Measured Default is F if empty
RateGroup	String (1)	Only use Rate Groups that have been provided to Xerox
ModifiedEffectiveDate	String (mmddyyyy)	
DirectApplication	String (1)	Y = Yes, Direct Application record N = No, Standard Application record Default is N if left empty or null

Output Parameter: string (xml)
Sample output xml:


```
<Response>
 <Status Code>0</Status Code>
 <Status Description>New Customer Successfully created and application queued
 </Status Description>
 <Errors>
  <Error>
   <Code></Code>
   <Description> </Description>
  </Error>
  <Error>
   <Code></Code>
   <Description></Description>
  </Error>
 </Errors>
 <DocumentID>0A1227236434</DocumentID>
 <TransactionId>73596EB8-279C-4636-B6FF-5160895B34BF</TransactionId>
</Response>
```


Result codes:

Status Code	Status Description
0	New Customer Successfully created and application queued
1	Customer was successfully reconnected
2	Customer was successfully transferred
Error code	**Error description**
-1001	Soap Header cannot be null
-1002	Invalid soap header – username is null
-1003	Invalid soap header – password is null
-1004	Invalid soap header – transaction id is null
-1005	Username and password combination does not exist. Please verify your credentials and try again.
-1006	There was a system error while attempting to create the customer
-1007	Invalid soap header – OCN is null
40004	ULTS telephone number is not found
40005	ULTS telephone number is in incorrect format
40006	First name is missing
40007	Last name is missing
40008	Customer name is missing
40009	Service address state must be 2 characters
40010	Service address State must be alphabetic
40011	Service address zip code must be 5 digits
40012	Service address zip code must be numeric
40013	Service address missing
40014	Disconnect date cannot be more than the record load date
40015	Billing address is missing
40016	Billing address city is missing
40017	Billing address state is missing
40018	Billing address state must be 2 characters
40019	Billing address state must be alphabetic
40020	Billing address zip code is missing
40021	Tribal Land exceeds maximum length of 1 characters
40022	Tribal Land should be 'Y' or 'N'
40023	Service Type exceeds maximum length of 1 characters

40024	Service Type should be 'F' or 'M'
40025	Rate Group exceeds maximum length of 30 characters
40026	Contact number must be max 50 characters
40027	Language code values must be: 1 or 2 or 3…7
40028	Braille/Large Font values must be "B" or "L"
40029	Activity Type should be "U" - Special Update file for ticket 175
40030	Rate Group cannot be NULL or Blank
40031	Rate Group not pre-defined for the carrier
40032	Modified Effective date cannot be greater than the record load date
40034	TTY qualified second line values must be "Y" or "N"
40035	Activity type length must be 1 character
40036	Values must be: "N", or "T" or "U" or "R" or "D"
40037	OCN format is invalid. Should be 4 characters
40038	Subscriber account number format is invalid. It exceeds maximum length of 50 characters
40039	Customer code exceeds maximum length of 50 characters
40040	Name prefix exceeds maximum length of 50 characters
40041	First name exceeds maximum length of 50 characters
40042	Initials exceeds maximum length of 50 characters
40043	Last name exceeds maximum length of 50 characters
40044	Name suffix exceeds maximum length of 50 characters
40045	Customer name exceeds maximum length of 250 characters
40046	Service address1 exceeds maximum length of 270 characters
40047	Service address2 exceeds maximum length of 100 characters
40048	Service address city exceeds maximum length of 50 characters
40049	Billing name exceeds maximum length of 150 characters.
40050	Billing first name exceeds maximum length of 50 characters
40051	Billing initial exceeds maximum length of 50 characters
40052	Billing last name exceeds maximum length of 50 characters
40053	Billing address1 exceeds maximum length of 100 characters
40054	Billing address2 exceeds maximum length of 100 characters
40055	Billing address3 exceeds maximum length of 100 characters
40056	Billing address4 exceeds maximum length of 100 characters
40057	Billing address5 exceeds maximum length of 100 characters
40058	Billing city exceeds maximum length of 50 characters
40059	Billing state code exceeds maximum length of 2 characters
40060	Billing Zip code should be 5 digits
40061	Billing Zip+4 should be 4 digits
40062	Language code cannot be greater than 2 characters
40063	Braille large font is invalid. Valid values are: B or L
40064	Omitted (only used for FTP transactions)
40065	ULTS service end date is in invalid date format
40066	TTY qualified second line is invalid. Valid values are: Y or N
40067	Customer not found to update
40068	Activity type is invalid. Valid values are: N, D, R, T or U
40069	Billing zip+4 is not defined
40070	Customer already exists
40071	OCN is missing
40072	Prior ULTS number is in incorrect format
40073	Invalid date format
40074	Braille is only applicable with English language type
40075	Update records cannot have a disconnect date
40076	Customer is in a pending transfer status with another carrier
40077	Invalid USPS zip code (this edit is not executed for all carriers)
40078	Cannot update ULTS telephone number as it is already active
40079	ULTS telephone number already active
40080	Customer Name and Service address found active within the same company

40081	New and reconnect records cannot have a disconnect date
40082	Service Zip, State not found and Service Address Line is less than 8 characters
40083	TTY number is required in the ULTSTelephoneNumber field
40084	Same name and address cannot have multiple TTY lines
40085	Same name and address (different TNs) cannot have multiple primary discount lines
40033	The carrier is not allowed to operate in the provided Zip+4 territory.
40086	Partial Direct application match - Name does not match
40087	Partial Direct application match - Telephone Number does not match
40088	Mismatch in OCN - DAP Transaction has a different OCN that the User's OCN
40089	Braille is not acceptable for DAP

3. **Name**: CheckApplicationPrintStatus
Soap Header required: Yes
Return type: string (xml)
Input Parameters

Name	Type	Comments
documentId	String (12)	This is the document id that was previously returned upon successful request for a new customer
transactionId	String (50)	This is the transaction id that came as part of the new customer request payload.

Output parameter: string (xml)
Sample output xml:

```
<StatusResponse>
 <Error Code></Error Code>
 <Error Description></Error Description>
 <Status Code>0</Status Code>
 <Status Description>In Process</Status Description>
 <FtpLocation> </FtpLocation>
 <DocumentID>docId</DocumentID>
 <TransactionID>Tx101</TransactionID>
</StatusResponse>
```

Result codes:

Error Code	Description
-1001	Soap Header cannot be null
-1002	Invalid soap header – username is null
-1003	Invalid soap header – password is null
-1004	Invalid soap header – transaction id is null
-1005	Username and password combination does not exist. Please verify your credentials and try again.
-1006	There was a system error while querying the customer's information. Please try again.
-1007	Invalid soap header – OCN is null
-1009	Neither the barcode nor the transaction id were provided. At least one of them is required to check the status.
Status Code	Status Description
0	In process
1	Application is Ready
2	The pdf file for the DAP application could not be generated due to technical issues. So, it has been converted to a standard application that will be mailed to the customer.

Callback method

This is the web service that needs to be hosted by the carriers. Xerox will call this callback method to notify the FTP location of the customer application that was requested.

Web service name: DirectApplicationRequestService
Web method name: DirectApplicationPrintCallback
Soap Header: CarrierSoapHeader

Soap header attributes

Name	Data Type
Username	String
Password	String

Input parameters

	Data type	Comments
TransactionID	String (50)	
DocumentID	String (12)	
FtpLocation	String (250)	
ResponseXml	String (8000)	If the DAP app has been converted to standard app, it will be indicated here.

Sample ResponseXml:

<ResponseXml>

<Status Code>2</Status Code>

<Status Description>The pdf file for the DAP application could not be generated due to technical issues. So, it has been converted to a standard application that will be mailed to the customer.</Status Description>

</ ResponseXml >

Output parameter

Type	Value
0	If notification was received by the recipient, successfully
-1000	Invalid Username
-1001	Invalid Password
-1002	Username/Password incorrect
-1004	DocumentID Missing/Invalid
-1005	TransactionID Missing/Invalid
-1006	TransactionID Record not found
-1007	FtpLocation Missing/Invalid
-1008	System error

Step 2: Production of Application Form

Upon the ETC uploading a customer record to Xerox via a web service call, Xerox will perform validation (internal checking) on the subscriber data and return to the ETC staging results via the web service API. The actual checking that Xerox does will be in real-time, and the ETC will be able to determine whether the ETC can proceed with obtaining the PDF application form, or if there exists a problem to be addressed before further processing can take place. If the validation check shows an otherwise eligible applicant (prior to a review of FCC-required documentation), the ETC will receive from Xerox the appropriate pre-populated application form, in PDF format, from the CA LifeLine Administrator's hosted, secure web server.

To enable this functionality, Xerox will develop a system that generates, based on the consumer's application data, a custom, pre-populated application form based on this data and will transmit it nearly simultaneously to the ETC as a PDF document for printing and further transmission to the consumer. The specific application form that will be electronically provided by the CA LifeLine Administrator to the ETC will be based upon the specific information that the ETC provides during the *Step 1: Direct Data Submission* process.

This process ensures that:

- The creation of a particular type of application form the applicant needs;
- The CA LifeLine Administrator will not be burdened with dealing with generic or differing versions of the same form or its iterations;
- When changes in the form are needed, they can be made centrally to eliminate multiple iterations of the form being in circulation at any given time by a multitude of ETCs; and
- The CA LifeLine Administrator may continue to limit the distribution of forms to those who are eligible to receive them, based on verification procedures performed by the Administrator for duplication and authorized service.

As a key element for maintaining correlation of applications with their supporting eligibility documentation, the application form provided by the CA LifeLine Administrator to the ETC will also contain a "document ID" that is assigned at the time the Direct Data Submission Feed is submitted and accepted by the CA LifeLine Administrator. Such document ID should also be assigned to the applicant's supporting documentation, and should be assigned in the daily FTP feed from the ETC to Xerox.

The Direct Data Submission Feed that results in a document ID on the application form generated shall be a part of the daily FTP feed from the ETC to Xerox and shall be likewise identified by the same document ID.

Step 3: Obtaining signed copy of Application Form

The CA LifeLine Administrator will populate fields on the application form with the applicant's information as initially provided by the applicant to the ETC. When received from the CA LifeLine Administrator, the ETC will immediately mail, fax, or e-mail the pre-populated application form to the appropriate applicant.

ETCs will also be required to obtain an electronic copy of any required supporting documentation to prove program or income eligibility along with the application form for the relevant applicant. The supporting documentation should first be verified by the ETC. Then the ETC must provide the application form with the supporting documentation for the relevant applicant to Xerox in a multi-page PDF file.

Once a customer record is submitted, the standard response timeline is given and reminder notifications are made, per GO 153 requirements. If the ETC does not provide a completed application form with the supporting documentation for the applicant within 44 days of the Direct Data Submission, Xerox will mail the applicant a soft denial letter and another copy of the application form. The applicant will have 22 days to respond to the soft denial mailing. If a completed application is not received by the end of the 22 days, a final denial letter will be mailed to the applicant and the ETC will receive a "C-D" record in the next return feed file.

Step 4: Uploading signed copy of Application Form and supporting documentation

The ETC will also use this direct communication with consumers to ensure that the applicants successfully sign and understand the requisite form and submit the supporting documentation that is required to confirm eligibility. ETCs will educate its customers of how to submit the form and supporting documentation to the ETC via mail, fax, or email. Immediately upon receipt of the completed application form and supporting documentation, the ETC will ensure:

- That an applicant's application and supporting documentation bear the same document ID, and
- The formats of the application and supporting documentation are such that they can be electronically transmitted to the CA LifeLine Administrator using a transfer mechanism determined by the CA LifeLine Administrator as the desired method to receive transmissions from the ETC

The ETC will maintain a daily log of document IDs assigned to Direct Data Submission Feeds and ensure that such document IDs are included in the daily FTP carrier feed to the CA LifeLine Administrator (Xerox) and that the document IDs identify the same data in the daily FTP carrier feeds as in the Direct Data Submission Feeds to the CA LifeLine Administrator. The CA LifeLine Administrator will likewise maintain a similar log that includes the date of submission of the data that is identified by document ID.

ETCs are responsible for submitting a PDF image of the completed application form and support documentation. ETCs can provide the application form and documentation in a single PDF file or in two separate PDF files. In addition, ETCs are responsible for submitting a plain text file containing the data entered by the applicant on the application form in a record layout specified by Xerox.

When processing the metadata records, the CA LifeLine Administrator will check if the PDF file names submitted in the file have been received. If one of the specified files has not been received, the carrier will immediately receive a status record in the return file with status code of 47, "DAP Metadata received, but PDF not found".

Column Delimiter: Pipe Delimited

Record Delimiter: Carriage Return

File Mask: DAP_MetaData_OCN_MMDDYYY_HHMMSS.txt

Note: Metadate file should not include headers.

ID	Field Name	Data Type	Field Length	Description
1	DocID	String	12	
2	only 1 line certify initials	Bit	1	applicant's initials to certify nobody else in the household currently receives a discount
3	Prog Bubble 1	Bit	1	Women, Infants, and Children Program (WIC)
4	Prog Bubble 2	Bit	1	Medicaid/Medi-Cal
5	Prog Bubble 3	Bit	1	Supplemental Security Income (SSI)
6	Prog Bubble 4	Bit	1	National School Lunch Program (NSLP)
7	Prog Bubble 5	Bit	1	Low Income Home Energy Assistance Program (LIHEAP)
8	Prog Bubble 6	Bit	1	CalFresh, Food Stamps, or Supplemental Nutrition Assistance Program (SNAP)
9	Prog Bubble 7	Bit	1	Federal Public Housing Assistance or Section 8
10	Prog Bubble 8	Bit	1	Healthy Families Category A
11	Prog Bubble 9	Bit	1	Tribal TANF
12	Prog Bubble 10	Bit	1	Head Start Income Eligible (Tribal Only)
13	Prog Bubble 11	Bit	1	Bureau of Indian Affairs General Assistance
14	Prog Bubble 12	Bit	1	Food Distribution Program on Indian Reservations (FDPIR)
15	Prog Bubble 13	Bit	1	TANF, CalWORKS, StanWORKs, WTW, GAIN
16	Filler	String	29	
17	Filler	Bit	1	
18	Filler	Bit	1	
19	Filler	Bit	1	
20	Filler	Bit	1	
21	Filler	Bit	1	
22	Household Members	String	2	comb field used to provide the member count
23	Household Amt	String	5	Yearly income
24	Tribal ID	String	12	In some cases, tribal members do not have a SSN; they will be required to provide their tribal ID. Numbers can be 4-12 digits in length.
25	Tribal Initial	Bit	1	Applicant's initials to indicate they live on tribal land
26	Filler	Bit	1	

27	Filler	String	Free Form	
28	Filler	Bit	1	
29	Filler	Bit	1	
30	TTY Member Name	String	29	comb field of TTY user's name
31	Second line detect Bubble	Bit	1	Bubble indicates multiple households at same service address
32	Second Line Detect Initials	Bit	1	Initials certify no other adults contribute to income of household
33	Do Not Qualify Bubble	Bit	1	only on renewals of new form design
34	Signature Exists	Bit	1	
35	Guardian Bubble	Bit	1	
36	Signature Date	String	8	mmddyyyy
37	Date of Birth	String	8	DOB of the primary participant mmddyyyy
38	Social Security Number	String	4	last 4 digits of SSN of the primary participant
39	Applicant Printed Name	String	28	
40	Applicant Matches	Bit	1	
41	Standard Print Bubble	Bit	1	Indicates the person would like to receive standard print letters and forms in the future
42	Large Print Bubble	Bit	1	
43	Braille Bubble	Bit	1	
44	Image File Name	String	Free Form	<document_1>.pdf, <supportingdoc_2>.pdf. There is a maximum of two PDFs which will be separated by a comma.
45	Submission Date	Date	8	mmddyyyy

Return codes:

After processing the metadata records for a Direct Application, one of the following codes will be returned.

Code	Description
48	New customer record received, No direct application received
49	Direct application matched new customer record

Step 5: CA LifeLine Administrator processing of Application

Upon receipt of completed electronic PDF versions of the completed application form and supporting eligibility documentation from the ETC, the CA LifeLine Administrator will convert the two documents into a single "Integrated Application," using document ID to match applications with supporting documentation and correlate the document ID to that assigned to the data provided by the ETC in the daily FTP carrier feed to Xerox.

The CA LifeLine Administrator will then "Stage" the application form. If the corresponding metadata or supporting documentation is not provided, the application will be designated as "pending" if the documents cannot be matched or are inadequate; otherwise, the Integrated Application will be sent to CRM for processing. If an application or documentation cannot be matched to an existing document ID, a status record is sent to the ETC in the form of a daily return feed file. The decision, application data, and/or supporting documentation are then placed in a pending status, identified by the document ID, until the ETC submits updated information in its daily FTP carrier feed, identifying the data by the original document ID.

Once a pending application, documentation or Integrated Application is matched to a metadata record or documentation identified by the original document ID, the CA LifeLine Administrator creates one Integrated Application, and the Integrated Application is placed in a CRM queue where it is presented to a Customer Service Representative (CSR) on a first in -first out (FIFO) basis. A status record with the document ID is then sent to the ETC to let them know that matched data and/or documentation has been converted to an Integrated Application and is now in the CRM queue.

The CSR reviews the Integrated Application per the rules of the California Lifeline Program and determines approval, denial or correctable denial, notifying the ETC of the decision in the daily return feed from the CA LifeLine Administrator.

Carrier Training and Testing

Training

Designated staff from participating ETCs will receive training from the Third Party Administrator on how to help their customers apply for using the Direct Application Process. The stakeholders will also receive training on the current enrollment process, as well as the process in general, which will include an overview of the workflows and data feeds involved in the enrollment process, and data security training which will include restricting data access and the proper securing and deleting of data records.

The Administrator will develop training materials and conduct the training either via a web conference tool (e.g., WebEx), in-person at an agreed-upon date, facility and location, or a combination of both and Carrier schedules and logistical requirements.

The training will consist of the following:

- Overview of the Application Processes and Database
    - Walking through the workflow diagrams
    - Understanding the data "feeds"
    - Data Security
- New training on the Direct Application method for your customers
    - Using the Apply Online feature for new customers on the public website
    - Filling out the PDF form
    - Uploading supporting documents
    - Successfully completing an application
        - Uploading supporting documentation only
        - Printing a confirmation page
- Training on Confidentiality and Data Privacy Requirements
- Refresher training on current enrollment methods
    - Using the Apply Online feature on the public website
    - Using your PIN and credentials
    - Successfully completing an application
        - Uploading supporting documentation or
        - Mailing in supporting documentation
        - Printing a confirmation page

The training will consist of one general workshop and/or small, breakout workshops as determined/needed. Also, expectations will be set on the time and commitment needed by the Carrier groups in order to make this process successful for customers. **Training is mandatory for Carriers in order to participate in the Direct Application Process.**

Testing

Those Carriers participating in the pilot program during Phase I will be required to assist the Third Party Administrator with mandatory testing of the Direct Application Process, as well as testing the various channels (Internet, scanning, fax, etc.) that will be used in stores and by Carriers to assist their customers in uploading their forms and supporting documentation. Participation in the testing process is a critical component in implementing the Direct Application Form process during its pilot phase and into subsequent phases.

Testing is mandatory for those Carriers opting into the Direct Application Process.

Confidentiality/Data Privacy

Data Security

- Secure Data Records: Any computers, scanners, and other devices or means of transferring personal information as part of the application process must be physically and electronically secured
- Restrict Data Access: Permit access to customer personal information to only those staff (employees and volunteers) requiring access to execute their job functions. These staff must be trained in the application process and sign a confidentiality statement prior to handling customer personal information
- Destroy Data Records: To minimize risk of security breach, carriers must delete/destroy any electronic and paper files containing personal information created by the application process (e.g. scanned files, copies of applications, temporary files) on a daily basis, if not immediately
- When possible, security settings in scanning/imaging software and devices should be set to immediately delete these files. Absent this ability, carriers must adopt a separate process to ensure these files are deleted on a daily basis
- Return Original Documentation: All original documentation and a copy of the final application should be returned immediately to the customer upon submission. These documents are not to be retained by the carrier under any circumstance
- Minimize Data Collection: For the purposes of assisting LifeLine applicants, the carrier must restrict its collection of customer personal information to only that explicitly required by the LifeLine application
- Limit Data Use: The personal information collected during the application process is to be used solely for the purposes of determining customer eligibility for LifeLine and no other purpose by the third party providing assistance
- Establish Protocol for Security Breach: The CPUC and carriers must establish a process for confirming, communicating, and mitigating the impacts of a data security breach. This process shall include the designation of an individual in each participating organization that is responsible for communicating the breach to the CPUC
- Accountability and Compliance: The CPUC and carriers shall establish a process for regularly reviewing and assessing compliance with the application process, including adherence to data security and confidentiality requirements

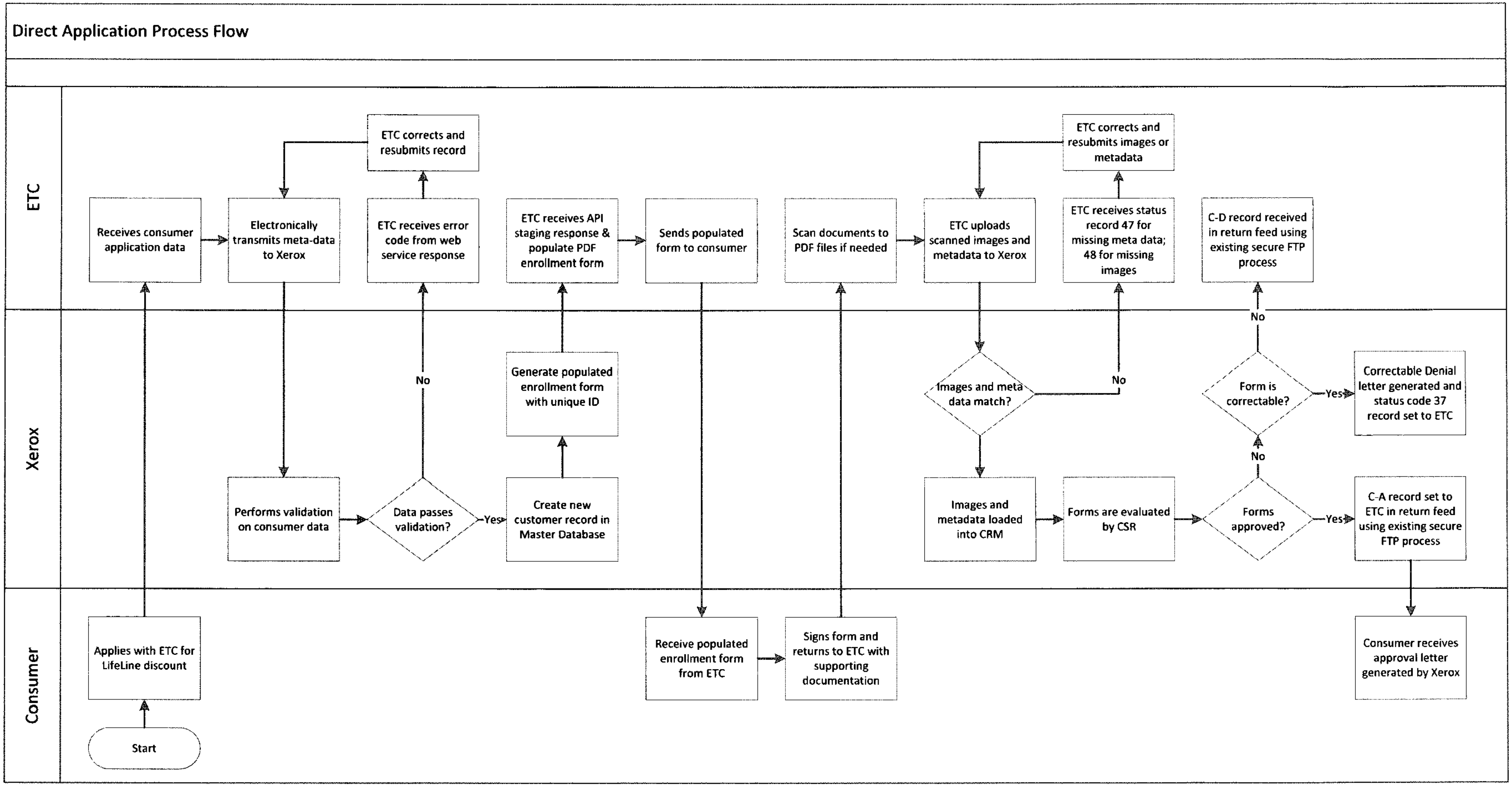
Third Party Confidentiality

- Train Staff on Application Procedures and Confidentiality Requirements: The CPUC and carriers must train all staff and supervisors with access to customer personal information on the application process, importance of maintaining confidentiality, and consequences of non-compliance
- CPI training: It is the carriers' responsibility to ensure that all staff have received appropriate CPI training and comply with any applicable Commission rules

Customer Notice and Consent

- Provide Notice: Inform customer of the need to provide personal information as part of the LifeLine direct application process and the confidentiality requirements and restrictions placed upon the third party providing assistance. Notify customer of the option to complete the application process without third party assistance via mail or the CA LifeLine Website. This notice should be included on the direct application
- Obtain Informed Consent: Require customer to initial or check a box indicating their consent to allow their personal information to be viewed by the third party providing assistance. This may be incorporated into the notice described above

APPENDIX A


Direct Application Process Flow
ETC
Xerox
Consumer
Start
Applies with ETC for LifeLine discount
Receives consumer application data
Electronically transmits meta-data to Xerox
Performs validation on consumer data
Data passes validation?
No
Yes
ETC receives error code from web service response
ETC corrects and resubmits record
Create new customer record in Master Database
Generate populated enrollment form with unique ID
ETC receives API staging response & populate PDF enrollment form
Sends populated form to consumer
Receive populated enrollment form from ETC
Signs form and returns to ETC with supporting documentation
Scan documents to PDF files if needed
ETC uploads scanned images and metadata to Xerox
Images and meta data match?
No
ETC receives status record 47 for missing meta data; 48 for missing images
ETC corrects and resubmits images or metadata
Images and metadata loaded into CRM
Forms are evaluated by CSR
Forms approved?
Yes
C-A record set to ETC in return feed using existing secure FTP process
Consumer receives approval letter generated by Xerox
No
Form is correctable?
Yes
Correctable Denial letter generated and status code 37 record set to ETC
No
C-D record received in return feed using existing secure FTP process

Appendix A