

State of Wisconsin
Department of Workforce Development
Division of Unemployment Insurance

File Transfer - FTPS Specifications

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SERVICE PROVIDER – SECURE FILE TRANSFER (FTPS) SPECIFICATIONS

SUMMARY

The Department of Workforce Development (DWD), Division of Unemployment Insurance (UI) provides a secure file transfer protocol (FTPS) system for service providers to send and retrieve files. These files will be processed and a results file will be available for the service provider to retrieve. Files received at DWD-UI will be processed in 1 – 2 business days.

PROCEDURES

REGISTERING SERVICE PROVIDERS FOR FTPS

Before a service provider can send files, the provider will need to request FTPS access. Using the DWD-UI Portal application (<http://dwd.wisconsin.gov/UI/>), the following information will be collected from the service provider requesting FTPS access:

- Company information (Name, address, phone number)
- Contact information (Name, address, phone number, email address)

Steps to request FTPS access:

1. Go to the DWD-UI homepage; <http://dwd.wisconsin.gov/UI/>
2. Click on the Service Providers button 
3. Click on the link “Employer Service Provider On-line Services”
4. **Current Users:** Click on the Login button using your portal credentials 
5. **New Users:** Click on the Create Logon ID button 
6. Once logged in, On the Service Provider homepage, click on the link “Register For FTPS Access”
7. Follow the steps to request FTPS access

Once the request is approved (1-2 business days), DWD-UI will then establish the following for the service provider:

- FTPS authorization. The login account (username, password) used above to request access will be used for FTPS. This same account can be used to view a history of files processed and/or make ACH bulk debit payments (see payment process) using the DWD-UI Portal application.
- Supporting directories (Input, Output for test and production)

DWD-UI will send, via email, the FTPS server technical information required to connect and send files including the host name, ports and other specifications. The URL for the DWD-UI Portal application will also be included in the email.

SENDING FILES TO DWD-UI

After a service provider is registered with DWD-UI, they can send test and production files. The files can be sent manually using any FTP client that supports FTPS or this process can be automated by the service provider using their own custom batch program. **DWD-UI will only support the FTPS protocol.**

The service provider will login to the FTPS server with the credentials they established with the self-registration process on the DWD-UI Portal. Once a file is transmitted, it will be stored in the service provider's Input directory.

The service provider will have Read, Write and Delete privileges within their input directory.

PROCESSING FILES

During the DWD-UI nightly batch cycle, a batch job will look for files in the service providers input directory. If files are found, the batch job will transfer the files and attempt to process them. After processing, a results file will be stored in the providers Output directory. If successfully processed, the results file will contain a confirmation number. If the files contain errors, the results file will contain the errors associated with the file.

RETRIEVING FILES FROM DWD-UI

The results file containing a confirmation number or the errors found during processing will be stored in the service provider's Output folder. The service provider will connect to the FTP server with their credentials and retrieve the file.

RESENDING TAX AND WAGE REPORT FILES TO DWD-UI

Reports within a file that contain errors should be resent to DWD-UI in a new file. Files that are resent to DWD-UI should only contain the corrected reports that originally contained errors. Reports within a file that do not contain errors will be processed and should not be resent.

FILE SPECIFICATIONS

INPUT FILES

Quarterly report files for both wage and tax should be a text format. DWD-UI will only accept text files for wage and tax. Data exchange files should be in .xml format.

Tax Reporting

DWD-UI accepts quarterly tax text data in one format.

See <http://dwd.wisconsin.gov/uitax/taxreportfilelayout.htm> for specific information on this format.

Input file names should start with 'Tax.' The extension of the file should be 'TXT' to denote a text file. For example: *TaxRpt2009Q1.txt*

Wage Reporting

DWD-UI accepts quarterly wage text data in four formats.

See <http://dwd.wisconsin.gov/ui201/w3201.htm> for specific information on each format.

Input file names should start with 'Wage.' The extension of the file should be 'TXT' to denote a text file. For example: *WageRpt2009Q1.txt*

Data Exchange

DWD-UI accepts data exchange data via FTPS in one format.

See <http://dwd.wisconsin.gov/uitax/dwd.ui.suites.DataFileExchangeRequest.01.xsd> for specific information on this format.

Input file names should start with 'Data.' The extension of the file should be 'XML.' For example: *Data2009Q1.xml*.

OUTPUT FILES

Format

The output file will be provided in an XML file format. The file will contain information about the original file sent to DWD-UI including a confirmation number. If the file sent to DWD-UI contains errors, the output file will contain information about the report that contains errors and information about each error. See Output File - Field Definitions in the Appendix at the end of this document for more information about the contents of the output results file.

Schema

The XSD for the tax and wage output files can be found at the following location:

<http://dwd.wisconsin.gov/uitax/dwd.ui.suites.TaxWageFTPResults.02.xsd>

The XSD for the data exchange output file can be found at the following location:

<http://dwd.wisconsin.gov/uitax/dwd.ui.suites.DataFileExchangeResults.01.xsd>

Naming of Tax and Wage Reports

The name of the output file will be the same as the original file was named with a unique GUID appended. For example: *WageRpt2009Q1-24caa776-f16b-4432-9759-0ffe984898bb.xml*

Naming of Data Exchange

The name of the output file will be the same as the original file was named plus “_ESPDX_” + upload date MMDDYYYY + “_” + GUID.

For example: *Data2009Q1_ESPDX_08182009_56604381-8fef-4670-b17f-c39bf53e26ca.xml*

Error Messages

If there are errors found during processing of the input file, the output results file will contain detailed information about the error and where it was found in the file.

For more information about the Tax error messages, see Contribution Tax Reports File Upload Error List at the following location:

<http://dwd.wisconsin.gov/uitax/TaxUploadErrorMessage.htm>

For more information about the Wage error messages, see Wage Report File Upload Error List at the following location:

<http://dwd.wisconsin.gov/uitax/WageUploadErrorMessages.htm>

For more information about the Data Exchange error messages, see About Data File Exchange at the following location:

<http://dwd.wisconsin.gov/uitax/AboutDataFileExchange.pdf>

FILE TRANSFER PROCESS

PRODUCTION FILE TRANSFERS

Service providers should use their login credentials and their “Prod” Input folder to submit actual Tax and Wage quarterly report files to satisfy quarterly reporting requirements. The login credentials should also be used to submit Data Exchange files to retrieve actual client data. See Figure 1 for more information.

VALIDATION OF TAX AND WAGE REPORT FILE TRANSFERS

Service providers should use their login credentials and their “Test” Input folder to submit test files to the validation environment. The process to use the validation environment is the same as the production environment with the exception of the folders used. The validation environment should be used to test the file for proper format and content errors. Once a file is successfully tested in the validation environment, a file must still be submitted to the production environment to satisfy DWD-UI quarterly reporting requirements. See Figure 1 for more information about submitting a production file.

Warning:

The Validation Test Environment for testing purposes only. Files sent to the Validation Test Environment do not update the employer accounts maintained by the DWD-UI and will not satisfy any quarterly reporting requirements. Any information you receive from the Validation Test Environment represents only data associated with testing a file for formatting and content errors. To submit an actual quarterly report file to the DWD-UI to satisfy quarterly reporting requirements, you must access the appropriate production version of the FTPS system using your FTPS credentials.

PAYMENT PROCESS

2007 Wisconsin Act 59 requires all Employer Service Providers that make payments on behalf of employers to pay UI taxes using Electronic Funds Transfer (EFT). This law change became effective with tax payments made on or after January 1, 2009. Employer Service Providers can be assessed a penalty of \$50 or ½ of 1% of the amount due, whichever is greater, for payments made by check. Employer Service Providers can remit payment electronically by either making individual Automated Clearing House (ACH) Credit payments for each employer or by making an online bulk ACH Debit payment for the sum total of the payment amount included on each report in the file in (position 65-74) of the tax report record. If you have any questions regarding the payment methods listed below please contact our General Accounting Office at (608) 266-5793.

BULK ACH DEBIT PAYMENT

If you submit a file of tax reports on behalf of your clients and remit payment out your service provider bank account this functionality gives you the ability to logon online and submit one bulk ACH EFT Debit payment for the total payment amount in the amount paid field (position 65-74) of your tax report file for all reports in your file that pass the review process. If you wish to use this payment method when creating your tax report file populate the payment amount field for each record in the file with the amount of payment we should apply to that employers UI account. The EFT Payment cannot be submitted until after the file has gone through the review process and we have determined which reports passed the file review. You can't submit payment for records in the file that did not pass the review. The only time you put a dollar amount in position 65-74 of your file is if you are going to use this payment option.

INDIVIDUAL ACH CREDIT PAYMENTS

ACH Credit allows you to pay an employer's unemployment taxes by instructing your financial institution to debit your account and credit the State's bank account for the amount of payment owed by the employer. The Department only accepts individual payments for each employer using the NACHA CCD+ file format. For detailed instructions on making ACH Credit payments go to <http://dwd.wisconsin.gov/uitax/eft/credit.htm>.

If you choose ACH Credit as your method of electronic payment and submit a file of contribution reports, please enter \$0.00 in the Amount Paid field in your contribution tax report file (position 65-74).

EMPLOYER SUBMITS PAYMENT

If you prepare the tax report, and the employer submits the payment, please enter \$0.00 in the Amount Paid field (position 65-74) in the contribution tax report file.

INCORRECT PAYMENT AMOUNT – CANCEL PROCESSING OF FILE

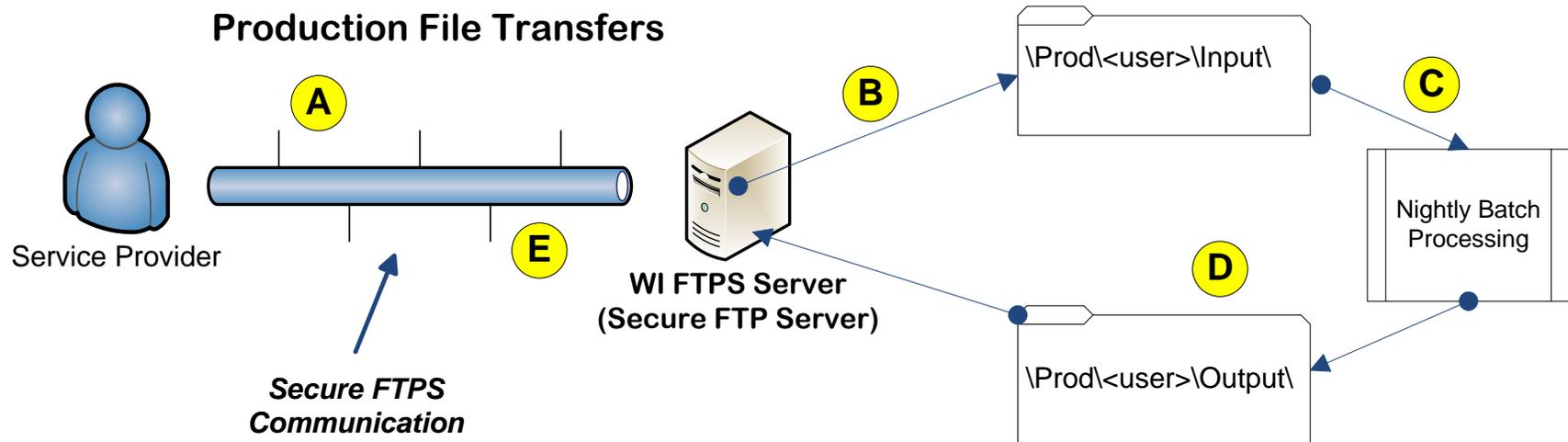
If you do not agree with the payment amount for reports without errors, you will need to use your login ID to access the DWD-UI Portal Application and cancel processing of the input file. You can not cancel the file through the FTPS process. To access the DWD-UI Portal application and cancel processing of your file, do the following:

1. Visit the Service Provider Resource page at http://dwd.wisconsin.gov/uitax/esp_resource_page.htm
2. In the On-line Services section, select the link Employer Service Provider On-line Services and login with your user ID and password
3. Click on View Contribution Tax Report File Upload Summary in the View File Upload Summary
4. On the Contribution Tax Reports File Upload Summary page, click on the 'View File & Error Details' link for the file you would like to cancel.
5. On the Tax File Upload Details page, click the "Cancel Processing" button.

DEBIT BLOCK/FILTER ON BANK ACCOUNT

An EFT debit block/filter prevents unauthorized EFT debit payments from being deducted from your bank account. If you want to make unemployment insurance (UI) bulk EFT debit payments and your financial institution has placed an EFT debit block/filter on your bank account, you need to make sure that your financial institution will allow the UI payment to be deducted from your bank account. Your financial institution may ask for UI's company identification number and company name. **The company identification number is 1369006449 and the company name is Wisconsin UI Tax.** Please provide this information to your financial institution if you have a debit block/filter on your bank account and wish to make UI payments electronically.

Figure 1



- A** The service provider will login to the FTPS server using their credentials.
- B** The service provider will send their file to the Prod Input directory. The file name should start with the word 'Wage' for wage reports, 'Tax' for tax reports, and 'Data' for data exchange files and should have an extension of TXT. For example: *WageRpt2009Q1.txt*
- C** DWD will process the file during a nightly batch cycle. The file should be processed within 24 hours of recent.
- D** After processing, a results file will be stored in the service providers Prod Output directory. The name of the file will be the same as the file was named in step B with a unique GUID appended. For example: *WageRpt2009Q1-24caa776-f16b-4432-9759-Offe984898bb.xml*
- E** The service provider will login to the FTPS server using their credentials and retrieve the output file.

APPENDIX

SUPPORTING SOFTWARE

To connect to the FTP server, the service provider will need FTP software with support for FTPS, secure FTP. Any software that supports this protocol will work. Below is an example of free software that will work with this process.

FILEZILLA - RECOMMENDED

<http://filezilla-project.org/>

DART COMMUNICATIONS - POWERTCP FTP

<http://www.dart.com/>

OUTPUT FILE - FIELD DEFINITIONS – TAX AND WAGE

Field	Definition
fileResults	High level node for the results file.
originalFileName	The original file name from the file sent by the service provider.
type	The type of file. Wage, Tax, or Unknown.
fileStatus	The status of the file.
confirmationNumber	The confirmation number for the file sent by the service provider.
uploadedDate	The date and time the file was sent by the service provider.
processedDate	The date and time the file was reviewed.
reportsInFile	The total number of reports in the file.
reportsWithoutErrors	The total number of reports in the file without errors.
reportsWithErrors	The total number of reports in the file with errors.
totalPaymentAmount	The total payment amount in position 65-74 of all records in the tax file.
paymentAmountReportsWithoutErrors	The total payment amount for the reports in the file without errors.
paymentAmountReportsInError	The total payment amount for the reports in the file with errors.
reportsInError	The node for the reports found in the file that contain errors.
report	The complex type element representing a single report that contains errors.
accountNumber	The UI account number for the employer of the report.
reportYear	The reporting year of the report.
reportQuarter	The reporting quarter of the report.
fein	The Federal ID Number for the employer of the report.
legalName	The legal name for the employer of the report.
errors	The node for the errors found specific to this report.
error	The complex type element representing a single error.
number	The error number.
description	The description of the error.
lineWithError	The line number of the original file that contains the error.
dataInError	The data containing the error.

correctiveAction	The action needed to be done to correct the error condition.
fileStatus	
CanceledProcessingByServiceProvider	The processing of the file was canceled by the service provider.
CanceledProcessingByUIStaff	The processing of the file was canceled by UI staff.
FatalErrors	The file contains fatal errors and was not processed.
ManualFollowup	The file requires manual follow up and was not processed.
NonFatalErrors	The file contains non-fatal errors.
NotProcessed	The file was not processed.
PendingReceiptOfCheck	Reports in the file that have passed the review are waiting for the receipt of a check(s) from the Service Provider before they can be processed.
PendingSettlementOfEFTPayment	Reports in the file that have passed the review are waiting for the settlement date of the bulk ACH Debit payment to occur before they can be processed.
Processed	The file has been processed.
PendingInitiationofEFTPayment	Reports in the file that have passed the review are waiting for the initiation of a bulk ACH Debit payment by the Service Provider.
ReviewCompletedPendingProcessingOfFile	The file has passed review but is pending batch processing and then the reports will be processed.
ValidationCompleted	The review of the file has been completed in the Validation Test Environment

OUTPUT FILE - FIELD DEFINITIONS – DATA EXCHANGE

Field	Definition
fileResults	High level node for the results file.
SPAccountIdentifier	The client ID assigned by the service provider.
MatchingComments	Comments about problems matching the information provided.
SPUIAccount	The employer UI account number input by the service provider.
UIAccount	The employer UI account number provided by DWD-UI.
SPFein	The employer Federal Employer Identification Number input by the service provider.
Fein	The employer Federal Employer Identification Number provided by DWD-UI.
SPLegalName	The employer legal name input by the service provider.
LegalName	The employer legal name provided by DWD-UI.
SPRateYear	The tax rate year requested by the service provider.
RateYear	The tax rate year provided by DWD-UI.
EmployerTaxRate	The tax rate for the year requested.
EmployerReceivableBalance	The current account receivable balance. May be negative if the employer has a credit balance.
AccountStatus	The current account status of open, preliminary closed, or closed.
SubjectivityStatus	The current subjectivity status of subject, not subject, or pending.
FinanceMethod	The current finance method of taxable or reimbursable.
LastPayrollDate	The employer's last date of payroll, if applicable.
ClosureReason	The reason for the employer account status of closed, if applicable.
CorrectiveAction	Steps to take if an employer's account is closed.
ValuesAsOf	The date and time this information is effective.