

Appendix C

Data Entry and Edit Instructions for Retainer and Closing Statements

Summarization of “Retainer” Edits Required of Vendor

FILING ATTORNEY NAME

required = yes

if firm given enter the firm name, else enter the attorney name as; last space first space seniority.

FILING ATTORNEY ADDRESS

required = yes

FILING ATTORNEY COUNTY

required = yes

enforce referential integrity with dict_county_type

vendor: oca will accept the record, with a warning if the county field is empty
oca will reject the record, if the county code is entered but not a valid code in the dictionary. 1-62, 90, 91, 98, 99 are presently considered valid.

(Sample Table)

dict county type	description	civ serv c	federal county
60	Westchester	60	119
61	Wyoming	61	121
62	Yates	62	123
90	NYS County not listed		
91	Statewide		
98	Out of USA	98	
99	Out of State	99	

FILING ATTORNEY JUDICIAL DEPARTMENT

required = no, enter null if unknown

if entered enforce referential integrity with dict_judicial_dept_type

vendor: oca will accept the record if it is null, if the department is null oca will attempt to generate the department from the filing attorney’s county.
oca will reject the record, if the department is entered but not a valid code in the judicial department dictionary

Summarization of “Retainer” Edits Required of Vendor

(Sample Table)

dict_j	description	notes
0	unknown	Judicial department is unknown or out-of-state
1	1st Dept.	First Department
2	2nd Dept.	Second Department
3	3rd Dept.	Third Department
4	4th Dept.	Fourth Department

CLIENT1 FIRST NAME

required = yes

vendor: although this field is required, oca will accept statements where this field is null with a warning message

CLIENT1 MIDDLE INITIAL

required = no

CLIENT1 LAST NAME

required = yes

vendor: although this field is required, oca will accept statements where this field is null with a warning message

CLIENT2 FIRST NAME

required = no

CLIENT2 MIDDLE INITIAL

required = no

CLIENT2 LAST NAME

required = no

CARE OF FIRST NAME

required = no

Summarization of “Retainer” Edits Required of Vendor

CARE OF MIDDLE INITIAL

required = no

CARE OF LAST NAME

required = no

CLIENT1 STREET

required = yes

vendor: although this field is required, oca will accept statements where this field is null with a warning message

CLIENT1 CITY

required = yes

vendor: although this field is required, oca will accept statements where this field is null with a warning message

CLIENT1 STATE

required = yes

if entered enforce referential integrity with dict_state_type

vendor: Although this field is required, oca will accept statements where this field is null with a warning message
If the state is entered but the country is not US, the record is accepted but a warning message is issued

(Sample Table)

dict_state_type	description
NM	New Mexico
NV	Nevada
NY	New York
OH	Ohio
OK	Oklahoma
OR	Oregon
PA	Pennsylvania

Summarization of “Retainer” Edits Required of Vendor

CLIENT1 ZIP CODE

If the client1 country is US or a valid client1 state is given, required = yes

If entered the zip code must be a non-zero numeric and length = 5

vendor: oca will accept with warning if a statement is missing the zip code

vendor: oca will reject retainer back to the vendor if zip is entered but does not contain 5 non zero digits

CLIENT1 ZIP PLUS

required = no

if entered must be non-zero numeric and length = 4

vendor: oca will reject retainer back to the vendor if zip plus is entered but does not contain 4 non zero digits

CLIENT1 COUNTRY

required = no

if entered enforce referential integrity with dict_country_type

vendor: oca will accept with warning if null

If the country is null but the state is a valid state e.g. is in the dict_state_type table, then we will accept the record without generating a warning, and will change the country from null to 1(US).

(Sample Table)

dict_country_type	description	Abbreviation
1	United States	US
160	Canada	CN
205	Out of United States	OT

CLIENT1 ALPHA LOCATOR

is no longer used, NYC Human Resources Administration will now receive client1 county type

Summarization of “Retainer” Edits Required of Vendor

STATEMENT JUDICIAL DEPARTMENT

required = yes
must contain one of the following values: 1, 2, 4

vendor: oca will reject retainer back to vendor

STATEMENT NUMBER

required = yes
length must = 7
must be a number
must be in range table row for the correct department and month/year, unless the statement was entered via the mainframe a.k.a. legacy system
must be unique within retain table and closing table. This uniqueness edit cannot be performed by vendor, it will be oca’s responsibility to identify duplicate statement numbers and reject the record.

vendor: oca will reject retainer back to vendor

STATEMENT DATE

required = yes
must be a valid date
statement date must be >= agreement date

vendor: oca will reject retainer back to vendor if this field does not contain a valid date

vendor: oca will accept with warning if the statement and agreement dates are not in chronological order

RETAIN AGREEMENT DATE

required = yes
statement date must be >= agreement date

vendor: oca will accept, with warning, statements with a null agreement date, or if the statement and agreement dates are not in chronological order

TERMS OF COMPENSATION

required = yes

Summarization of “Retainer” Edits Required of Vendor

enforce referential integrity with dict_retain_compensation_type

vendor: oca will accept, with warning, statements with a null compensation type
 vendor: oca will reject retainer back to the vendor if compensation is entered zip is entered but is not found in the dictionary

(Sample Table)

dict_retain	description	notes
1	(1) Fee schedule A; sliding	Valid for Departments 1&2&4.
2	(2) Fee schedule B; percent of	Valid for Departments 1&2&4
3	(3) Fee set by judicial order	Valid for Departments 1&2&4

CO COUNSEL (ENGAGED BY AN ATTORNEY)

if the statement was filed in dept 1 & 2 this field is required

if the statement was filed in dept 1 & 2 this field must be blank

enforce referential integrity with dict_retain_co_counsel_type

vendor: oca will accept the record with a warning if the department and null/not null rule is violated
 oca will reject the retainer back to the vendor if a co-counsel type is entered but is not found in the dictionary

(Sample Table)

dict_retain	description	notes
1	is filled in	item4: engaged by
2	is blank, or is attorney filing this retainer	

PROCEEDING TYPE (ITEM 5 OR 6)

required = no

if entered enforce referential integrity with dict_retain_proceeding_type.

vendor: oca will reject the retainer back to the vendor if a proceeding type is entered but is not found in the dictionary.

(Sample Table)

Summarization of “Retainer” Edits Required of Vendor

dict	description	notes
1	claim for personal	Entered as Item5. Valid for departments 1, 2 and 4
2	condemnation	Entered as Item6. Valid for departments 1, 2 (and 4 as of 12/1999)

DATE OF OCCURANCE

required = no

if entered must be earlier than microfilm statement date, and date of agreement

vendor: oca will accept the record with a warning if the date correlation rules are violated

oca will reject the retainer back to the vendor if something other than a valid date is entered

REFERRAL TYPE (RELATION TO ATTORNEY)

required = yes

enforce referential integrity with dict_retain_referral_type

vendor: although this is a required field, oca will accept the record with a warning if the referral type is not entered. If the referral type is entered but is not in the referral dictionary the statement is rejected

(Sample Table)

dict_retain_referral	description	notes
1	known to attorney	pre1999 value = 1
4	recommended to	pre1999 value = 4
8	other	pre1999 value = 8
9	blank or is engaged	pre1999 value = &

CREATE DATE

will be generated by oca, as date processed/added to database

RECORD IN BATCH

Will not be generated for those records added to the web application. This field will be kept for those records downloaded from the legacy system.

Summarization of “Retainer” Edits Required of Vendor

STATEMENT CHECK DIGIT

Is no longer needed since records can be easily viewed, this field will not be generated for those records added to the web application

RECORD TYPE 45

is no longer used, but we will continue to generate this field until decision is made to drop the field

BATCH NUMBER

required = yes

currently defined as length =4, this field can be alphanumeric

vendor: oca will reject statements where this field is empty

BATCH DATE

required = yes

must be a valid date, greater than or equal to statement date

vendor: oca will reject statements that violate these rules

ATTORNEY REGISTRATION ID

unused

CLIENT1 LATITUDE

will be generated by oca

CLIENT1 LONGITUDE

will be generated by oca

CLIENT1 GEORESULT

will be generated by oca

CREATE USER

will be generated by oca using vendor's number, or sign on id of the clerk using add/update asp scripts

Summarization of “Retainer” Edits Required of Vendor

CLIENT1 COUNTY TYPE

required = no

will be generated by oca from client1 address

legacy: this field has been generated with 96% success rate for addresses within New York state

Summarization of “Closing” Edits Required of Vendor

ATTORNEY_1 NAME

required = yes

if firm given enter the firm name, else enter the attorney name as; last space first space

seniority

vendor: oca will reject

ATTORNEY_1 ADDRESS

required = yes

vendor: oca will reject

ATTORNEY_1 COUNTY

required = no, enter null if unknown

if entered enforce referential integrity with dict_judicial_dept_type

vendor: oca will accept the record, with a warning if the county field is empty
oca will reject the record, if the county code is entered but not a valid code in the dictionary. 1-62, 90, 91, 98, 99 are presently considered valid.

(Sample Table)

dict county type	description	civ serv c	federal count
60	Westchester	60	119
61	Wyoming	61	121
62	Yates	62	123
90	NYS County not listed		
91	Statewide		
98	Out of USA	98	
99	Out of State	99	

ATTORNEY_1 JUDICIAL DEPT

required = no, enter null if unknown

if entered enforce referential integrity with dict_judicial_dept_type

vendor: oca will accept the record if it is null, if the department is null oca will attempt to generate the department from the county listed for attorney_1.

oca will reject the record, if the department is entered but not a valid code in the judicial department dictionary

(Sample Table)

Summarization of “Closing” Edits Required of Vendor

dict_j	description	notes
0	unknown	Judicial department is unknown or out-of-state
1	1st Dept.	First Department
2	2nd Dept.	Second Department
3	3rd Dept.	Third Department
4	4th Dept.	Fourth Department

CLIENT1 FIRST NAME

required = yes

vendor: although this field is required, oca will accept statements where this field is null with a warning message

CLIENT1 MIDDLE INITIAL

required = no

CLIENT1 LAST NAME

required = yes

vendor: although this field is required, oca will accept statements where this field is null with a warning message

CLIENT2 FIRST NAME

required = no

CLIENT2 MIDDLE INITIAL

required = no

CLIENT2 LAST NAME

required = no

ATTORNEY_2 NAME

required = no

if firm given enter the firm name, else enter the attorney name as; last space first space seniority

vendor: oca will accept the record but issue a warning if one but not all of the following three fields are entered: attorney2 name, attorney2 county, attorney2 retainer code.

Summarization of “Closing” Edits Required of Vendor

ATTORNEY_2 ADDRESS

required = no

ATTORNEY_2 COUNTY

required = no, but if attorney_2 name is entered the county is required
if required, enforce referential integrity with dict_county_type

vendor: oca will accept the record but issue a warning if one but not all of the following three fields are entered: attorney2 name, attorney2 county, attorney2 retainer code.

oca will reject the record, if the county code is entered but not a valid code in the dictionary. 1-62, 90, 91, 98, 99 are presently considered valid.

ATTORNEY_2 JUDICIAL DEPT

required = no, enter null if unknown

if entered enforce referential integrity with dict_judicial_dept_type

vendor: oca will accept the record if it is null, if the department is null oca will attempt to generate the department from the county listed for attorney_2. Oca will reject the record, if the department is entered but not a valid code in the judicial department dictionary

ATTORNEY_2 CODE (RETAINER STATEMENT) NUMBER

if attorney_2 name is not null this field is required, else required = no

if entered this field should be a 7 digit number

vendor: oca will accept the record but issue a warning if one but not all of the following three fields are entered: attorney2 name, attorney2 county, attorney2 retainer code. oca will accept the record but issue a warning if entered this field is entered and is not a 7 digit number.

ATTORNEY_3 NAME

required = no

if firm given enter the firm name, else enter the attorney name as; last space first space seniority

vendor: oca will accept the record but issue a warning if one but not all of the following three fields are entered: attorney3 name, attorney3 county, attorney3 retainer code.

Summarization of “Closing” Edits Required of Vendor

ATTORNEY_3 COUNTY

required = no, but if attorney_3 name is entered the county is required
if required, enforce referential integrity with dict_county_type

vendor: oca will accept the record but issue a warning if one but not all of the following three fields are entered: attorney3 name, attorney3 county, attorney3 retainer code.
oca will reject the record, if the county code is entered but not a valid code in the dictionary. 1-62, 90, 91, 98, 99 are presently considered valid.

ATTORNEY_3 JUDICIAL DEPT

required = no, enter null if unknown
if entered enforce referential integrity with dict_judicial_dept_type

vendor: oca will accept the record if it is null, if the department is null oca will attempt to generate the department from the county listed for attorney_3. Oca will reject the record, if the department is entered but not a valid code in the judicial department dictionary

ATTORNEY_3 CODE (RETAINER STATEMENT) NUMBER

if attorney_3 name is not null this field is required, else required = no
if entered this field should be a 7 digit number

vendor: oca will accept the record but issue a warning if one but not all of the following three fields are entered: attorney3 name, attorney3 county, attorney3 retainer code. Oca will accept the record but issue a warning if entered this field is entered and is not a 7 digit number.

STATEMENT JUDICIAL DEPARTMENT

required = yes
must contain one of the following values: 1, 2, 4

vendor: oca will reject retainer back to vendor
legacy: may not follow above requirements

STATEMENT NUMBER

required = yes
length must = 7
must be a number
must be in range table row for the correct department and month/year
must be unique within retain table and closing table. This uniqueness edit cannot be performed by vendor, it will be oca’s responsibility to identify duplicate statement

Summarization of “Closing” Edits Required of Vendor

numbers and reject the record.

vendor: oca will reject retainer back to vendor

STATEMENT DATE

required = yes

must be a valid date

statement date must be >= agreement date

vendor: oca will reject retainer back to vendor if this field does not contain a valid date

vendor: oca will accept with warning if the statement and agreement dates are not in chronological order

CLOSING COURT TYPE

required = yes

if field on the statement is blank, key using ‘item 13 None Given’

if ‘gross amount’ field is blank, key closing court type as ‘item 101 Unknown’

enforce referential integrity with dict_closing_court_type

vendor: Although this field is required, oca will accept statements where this field is null with a warning message. If the court type is entered but is not in the closing court type dictionary the record is rejected.

(Sample Table)

dict_cl	description	notes
1	Supreme Court	corresponds to pre1999 value of 1
2	County Court	corresponds to pre1999 value of 2
3	City Court, inside the City of	corresponds to pre1999 value of 3
4	Small Claims Court	corresponds to pre1999 value of 4
5	District Court of Nassau or	corresponds to pre1999 value of 5
6	Surrogates Court	corresponds to pre1999 value of 6
7	Justice or Police Court	corresponds to pre1999 value of 7
8	City Court, outside of the City	corresponds to pre1999 value of 8
9	United States District Court,	corresponds to pre1999 value of 9
10	Out of State, Common Pleas	corresponds to pre1999 value of 0
11	Arbitration	corresponds to pre1999 value of -
12	Court of Claims	corresponds to pre1999 value of &
13	None given	corresponds to pre1999 value of
101	Unknown in Gross Amount	corresponds to pre1999 value of U

Summarization of “Closing” Edits Required of Vendor

CASE DISPOSITION TYPE (ITEM 6)

if this field is not marked and a gross recovery amount is entered then
key this field as settled (1)

if this field is not marked and no gross recovery amount is entered then
key this field as abandoned (2)

if closing court type = 101 (unknown) case disposition type must be null/empty

if closing court type = 13 (none given) case disposition may be null/empty, but if entered
must be a valid dict_closing_disposition_type

For any other court type closing_disposition_type is required and referential integrity
with

dict_closing_disposition_type is enforced

if case disposition type is settled (1), closing court type must be keyed with a value of 1
through 13

if case disposition type is judgment (3), closing court type must be keyed with a value of
1 through 12

vendor: oca will accept the statement with a warning if the above business rules are
violated. If the disposition type is entered but is not in the disposition type
dictionary the record is rejected.

(Sample Table)

dict_closing	description	notes
1	Settled	corresponds to pre1999 value of 1
2	Claim abandoned or	corresponds to pre1999 value of 2
3	Judgment	corresponds to pre1999 value of 3

DEFENDANT PAYMENT DATE

required = no

if entered the defendant payment date must be a valid date

if closing court type = 13 (none given) or 101 (unknown) the defendant payment date
must be null/empty. This edit removed July, 2000 before the R&C application was live.

if case disposition type is settled (1) the defendant payment date must have a valid date
if case disposition type is abandoned (2) the defendant payment date must be null/empty

vendor: oca will accept the statement with a warning if the above business rules are
violated. If something other than a valid date is entered the statement is
rejected.

Summarization of “Closing” Edits Required of Vendor

GROSS RECOVERY AMOUNT

required = no

if entered then key as whole dollar amount, round up if cents entered greater than .50

if closing court type = 13 (none given) or 101 (unknown) then gross recovery amount must be null, empty or = 0. This edit removed July, 2000 before the R&C application was live.

if case disposition type is settled (1), gross recovery amount must be > 0

if case disposition type is abandoned (2) then gross recovery amount must = 0 or null/empty

if case disposition type is judgment (3), the gross recovery can be = 0, > 0, or empty/null

vendor: oca will accept the statement with a warning if the above business rules are violated.

COMPENSATION TYPE

required = no

if entered, enforce referential integrity with dict_closing_compensation_type

if closing court type = 13 (none given) or 101 (unknown) then compensation type must be null/empty. This edit removed July, 2000 before the R&C application was live.

if case disposition type = settled (1), or judgment (3) then compensation type is required

vendor: oca will accept the statement with a warning if the above business rules are violated. If a value not found in the compensation type dictionary is entered the statement is rejected.

(Sample Table)

dict c	description	notes
1	By retainer agreement or retainer agreement plus schedule	pre 1999 value of 1
2	By schedule: sliding scale	pre 1999 value of 2
3	By court: schedule plus court order, or retainer plus court	pre 1999 value of 3

ATTORNEY_1 RETAINER JUDICIAL DEPT

required = no

if entered enforce referential integrity with dict_judicial_dept_type

Summarization of “Closing” Edits Required of Vendor

vendor: oca will reject retainer back to vendor

legacy: may not follow above requirements

ATTORNEY_1 CODE (RETAINER STATEMENT) NUMBER

required = yes , if attorney_1 name is not null this field is required

else required = no

if required length must = 7,
 must be a number

vendor: oca will accept the statement with a warning if the above business rules are violated.

CREATE DATE

will be generated by oca, as date added to database

RECORD IN BATCH

will be generated by oca

STATEMENT CHECK DIGIT

is no longer used

RECORD TYPE 90

is no longer used

BATCH NUMBER

required = yes

currently defined as length =4, this field can be alphanumeric

vendor: oca will reject statements where this field is empty

legacy: may not follow above requirements

BATCH DATE

required = yes

must be a valid date, greater than or equal to statement date

Summarization of “Closing” Edits Required of Vendor

vendor: oca will reject statements that violate these rules

ATTORNEY_1 REGISTRATION ID

unused

ATTORNEY_2 REGISTRATION ID

unused

ATTORNEY_3 REGISTRATION ID

unused

CREATE USER

will be generated by oca using vendor's number