

Historical and › Takeover (H&T) Requirements

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Document Purpose

The purpose of the Historical & Takeover (H&T) requirements document is to outline the necessary elements for a successful transition of a client's historical and open leave information. This includes necessary data points to initiate and update an existing takeover leave, which will transition to York Absence Management as of the client absence services go live date.

This document describes the file format that enables the importing of detailed information about leaves (also known as "absences") into York database. The file format is used in the transition of historical and active leaves from an external leave management system. York Absence Management requests that the file contains information for all leaves during the last 12-24 months from the go live date. **Note:** States such as CT, DC, ME, NJ and RI require a 24-month history for FMLA and applicable state leaves.

Revision History

The following section will be used to capture the various changes made to the original requirement document and client specific details.

Date	Version	Summary of Changes	Revisions Made By
07/24/2018	V1	Initial Draft	Michael Lopez
09/11/2018	V2	Updated layout and format	Michael Lopez
10/02/2018	V3	Updated field layouts (name, DOB and Location)	Michael Lopez
12/05/2018	V4	Removed columns AJ - AR	Michael Lopez
12/20/2018	V5	Revised leave reasons in templates	Michael Lopez
01/24/2019	V6	Inserted columns AJ - AR updated HnT Sample file attachment	Michael Lopez
02/25/2019	V7	removed columns AJ - AR updated HnT Sample file attachment	Michael Lopez
03/21/2019	V8	Updated to new HnT format	Michael Lopez
04/22/2019	V9	Updated HnT file layout description and layout and include error codes	Michael Lopez

Client Sign Off

This section will document client signoff. Please complete all applicable information.

Approval Date	Approval Version	Name of Person Responsible for Approval	Contact Number and Email

Historical Leave Data

This section captures the types of closed leave data and time period which will be provided.

- ☐ FMLA (including Military Caregiver and Military Exigency)
- ☐ State Leaves
- ☐ Military (USERRA)
- ☐ Company Specific Leaves (Specify)

The client will provide a **[12 or 24]** month history of leaves.

York **does not load historical data for denied, ineligible or withdrawn leaves.** Only leaves which have a history of utilization will be loaded as part of the historical leave transition.

Open Takeover Leave Data

This section captures the types of open leave data.

Short Term Disability (STD) leaves are not part of the takeover leave process.

- ☐ FMLA (including Military Caregiver and Military Exigency)
- ☐ State Leaves
- ☐ Military (USERRA)
- ☐ Company Specific Leaves (Specify)

York will load only open pending or open and approved leaves as part of the open leave transition.

Historical & Takeover File Options

The following section provides clients with various H&T options.

Editor's Note (Delete before sending to client): If client elects custom or vendor specific data file, additional cost may be incurred. IC/IPM should escalate request to AE/Sales before finalizing requirements.

File Source

The H&T data will be provided in the following format:

- ☐ York Standard H&T File Layout
- ☐ Vendor Specific Data File

If H&T data is provided from a third party vendor, please provide vendor name and contact information.

Vendor Name	Contact Name	Contact Title	Phone Number	Email

File Naming Convention

The H&T file does not use a specific naming convention; however, York requests that the client identify the file name to ensure a seamless transition. The recommended file name should be the company name followed by the file extension xls. Example: “Widget Inc.xls”

File Timing

The client will provide the H&T data to York Absence Management at the following intervals for testing and production load:

1. Initial Sample Test File
 - a. Will contain all H&T records. The first file should be delivered on **XX/XX/XXXX**
 - b. York Absence Management will validate the data within the test environment and provide any feedback regarding the data. Feedback will be shared with the client for resolution.
 - c. The client will be responsible for providing an updated file with resolution to any errors or discrepancies provided.
2. Production Ready File
 - a. A production ready file will be provided 4 weeks prior to the go live date, which will be **XX/XX/XXXX**
 - b. Any issues previously identified must be resolved
 - c. The file will be loaded into the production environment.
3. Production Ready Gap File
 - a. A production ready gap file will consist of any data file changes that have occurred between the production ready file and the go live date.
 - b. The gap file must contain **changes only**.
 - c. The gap file must be provided by **XX/XX/XXXX**.

File Processing Acknowledgement Receipt

York will notify the client with a processing acknowledgement report once the H&T data file has been loaded.

If the H&T file loaded with any error(s), York will provide a detailed report outlining the error(s) that have been identified. The client will be responsible for addressing and resolving the error(s) and providing a new H&T file **within 3-5 business days** from the date the error report was provided.

Certification Forms and Designation Letters

As part of a successful transition of open leaves, York Absence Management requires copies of certification forms and designation letters be provided for each individual employee case (not a single file per case, associate or individual pages) and naming convention of EEID_Last Name_First Name.

The client will provide the certification forms and designation letters for all open leaves at the time the production ready H&T file is provided (4 weeks prior to go live date).

Any certification forms and designation letters processed between the date when the production ready H&T file is provided and the gap file date should be submitted with the H&T gap file.

Sample H&T File Template and Error Codes list

Attached is the H&T sample file and template for clients using the York Risk Absence Management layout.

HnT Sample file and HnT Error Codes.xlsx
Template.xlsx

Important H&T File Facts

Successful data transition requires that certain data points provided on the York Absence Management file are done appropriately.

For continuous leaves, the client must ensure the following:

- Report all employees on a continuous leave on one line using the utilization start date and end date fields being reported as the same as the leave start and end date fields.
- Report absence time for the employee in its totality under Hours Use field.
- Report employee work schedule in the Daily Work Hours fields and York will divide the total hours utilized equally across the employee's reported work schedule. If an employee's

scheduled work hour field is not completed, York will assume a standard work schedule (M-F 8 hours per day, totaling 40 hours per week).

- Clients should not report more hours on the H&T file than what is allowed as entitlement for the policy being reported. For example, a standard 40 hour week under FMLA would equal a maximum of 480 hours of available entitlement.
- Records that error out on the file does not meet the criteria necessary for loading into the York system. These records will be identified on the error log and will need to be corrected on subsequent files.
- Historical records on the H&T file that process without any errors will generate an acknowledgement message confirming a successful data load for each successfully loaded record. The message will state “Historic record processed successfully”.
- Open takeover records on the H&T file that process without any errors will generate an acknowledgement message for each successfully loaded record. The message will state “Takeover record processed successfully and claim was opened in York system”.

File Layout

This section focuses on the file layout details. Required fields are mandatory for a successful data transition.

Fields	Required / Optional	Field Type	Valid Values
SSN	Required*	Character	* Must provide either SSN or Employee ID and must match what is being sent over on the eligibility file
Employee ID	Required*	Character	* Must provide either Employee ID or SSN and must match what is being sent over on the eligibility file
Employee Last Name	Optional	Character	List Employee Last Name
Employee First Name	Optional	Character	List Employee First Name
Employer	Required	Character	Client name as provided to York
Case Open Date	Required	Date	Date case was opened
Case Closed Date	Optional*	Date	*If Case Status = Closed, date must be provided If Case Status not captured use Actual RTW date
Case Status	Required	Character	If reporting open case use “Open”, if closed use “Closed”
Status Date	Required	Date	Date that the current Case Status was added/changed
Work Related	Optional	Character	If Work Related use “Yes”, if not use “No”. If unsure use “Unknown”
Absence Event Start	Required	Date	Date that Leave Started, but can be used separately when reporting leave

Absence Event End	Required	Date	Date that Leave Ended, but can be used separately when reporting leave
Est. RTW Date	Optional	Date	Date estimated when employee is due back from leave, populate for open Continuous Leaves
Actual RTW Date	Optional*	Date	*If Case Status = "Closed", must populate with date employee return from leave
Benefit Request Start	Required	Date	Date the Benefit Started, note most leaves reported may be the same as Leave Start Date
Benefit Request End	Required	Date	Date the Benefit Ended, note most leaves reported may be the same as Leave End Date
Leave Status	Required	Character	If reporting approved case use "Approved", if pending use "Pending"
Leave Status Reason	Required	Character	If Leave Status Reason or an approved case you can use: "Approved" or "Approved - Conditionally" or "Approved/Recertified" If Leave Status Reason for a pending case you can use: "Pending" or "Pending/Recertified"
Leave Status Date	Required	Date	Date for the Leave Status being reported
Policy Under	Required	Character	List Policy based on list provided to Implementation Coordinator and entered into York system
Leave Type	Required	Character	If Leave is a Continuous case use: "Continuous" If Leave is an Intermittent case use: "Intermittent"
Leave Reason	Required	Character	List Leave Reason Policy, accepted values are: "Adoption", "Birth of Child", "Bonding", "Family Care", "Care a Service Member", "Military Exigency", "Other", "Own Health Condition", "Personal Military", "Pregnancy"
Leave Relationship	Optional*	Character	* List Relationship that corresponds with Leave Reason, use one of the following listed: "Adopted Child", "As a Legal Guardian", "Child", "Child in loco Parentis", "Civil Union", "Domestic Partner", "Domestic Partner Adopted Child", "Domestic Partner Biological Child", "Domestic Partner Foster Child", "Domestic Partner Parent", "Domestic Partner Stepchild", "Foster Child", "Foster Parent", "Grandchild", "Grandparent", "Legal Ward", "Newborn", "Other", "Parent", "Parent-in-law", "Servicemember", "Sibling", "Spouse", "Stepchild", "Stepparent" NOTE: not all leave

			reason will require a corresponding relationship to be reported.
Leave Start Date	Required	Date	Normally the same as Absence Start Date
Leave End Date	Required	Date	Normally the same as Absence End Date
Utilization Start Date	Required	Date	Intermittent: will have multiple occurrences if reporting multiple absence dates NOTE: For Intermittent leaves enter the Benefit Start Date in this field Continuous: will have single occurrence if reporting total hours used
Utilization End Date	Required	Date	Intermittent: will have multiple occurrences if reporting multiple absence dates NOTE: For Intermittent leaves enter the Benefit End Date in this field Continuous: will have single occurrence if reporting total hours used
Leave Date	Required	Date	The actual date where leave was taken within the utilization range NOTE If Intermittent report the first Utilization Start Date If Continuous Leave use the Utilization Start Date
Hours Used	Required if Utilization entry	Character	When reporting time on the HnT file report time as a decimal example: 8.50 will equal 8 hours and 30 minutes. Continuous leaves - report total number of hour's employee was on leave that is being reported. Do not report more utilization than the entitlement for the plan being reported. Example: FMLA entitlement is 480 hours, do not report more than 480.0 hours Intermittent leaves - report daily amount of time employee has taken for each leave instance, do not leave field blank, instead put a zero (0).
Monday Hours	Optional	Integer	* Provide number of hours employee is schedule to work, if not scheduled put 0
Tuesday Hours	Optional	Integer	* Provide number of hours employee is schedule to work, if not scheduled put 0
Wednesday Hours	Optional	Integer	* Provide number of hours employee is schedule to work, if not scheduled put 0
Thursday Hours	Optional	Integer	* Provide number of hours employee is schedule to work, if not scheduled put 0
Friday Hours	Optional	Integer	* Provide number of hours employee is schedule to work, if not scheduled put 0
Saturday Hours	Optional	Integer	* Provide number of hours employee is schedule to work, if not scheduled put 0

Sunday Hours	Optional	Integer	* Provide number of hours employee is schedule to work, if not scheduled put 0
Comments	Optional	String	Anything the employer would want to be mapped to notes in York absence system

* Enter employee's work hours only if they do not work a Monday – Friday eight hours a day, 40 hours schedule and if you are not providing us a day by day accounting of time taken, If you do not provide hours worked in these fields and providing only one record for the absence event York will assume a standard work schedule (M-F 8 hours per day, totaling 40 hours per week).