



# EAMS

Electronic Adjudication  
Management System

## **ELECTRONIC ADJUDICATION MANAGEMENT SYSTEM (EAMS)**

### **REFERENCE GUIDE and INSTRUCTIONAL MANUAL**

**for**

### **ELECTRONIC FILING E-FORM FILERS**

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## **I. INTRODUCTION**

Electronic filing provides for faster submission of your forms and documents. Once submitted, and assuming there are no errors, your documents are filed with the District Office, generally as soon as the next batch run has completed.

To be an electronic filer requires that you submit an Eforms Agreement to the Division of Workers' Compensation (DWC), and that the agreement be approved by DWC after all requirements are met. (See Appendix A) This application, along with training materials, can be found at: [http://www.dir.ca.gov/dwc/eams/EAMS\\_EformsFilers.html](http://www.dir.ca.gov/dwc/eams/EAMS_EformsFilers.html). The completed agreement is sent by email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with e-form agreement in the subject line.

Filing electronically requires a login consisting of a user name and password. Upon completion of the required training, new participants to the e-form filing will receive a login which allows them electronic access to Electronic Adjudication Management System (EAMS). Presently, electronic access is limited to those with a PC running Internet Explorer (IE), and Version IE-7 or a newer version is best. The compatibility view, located under the IE menu toolbar, must be set to "display all websites in compatibility view."

Your e-form login and Uniform Assigned Name has two functions. First it allows you to submit documents into a case. You submit documents using your eform logon, through an eform link on your home page. Second it allows you to review all pertinent case information, including the ability to review and if necessary print or save documents previously filed if you are a case participant.

## **II. GENERAL GUIDELINES**

### **Reason for the Guide**

This is to provide you with a key word and key phrase searchable resource to help you achieve as error free and efficient e-filing as possible. The headings in the Table of Contents are hyperlinks that will take you directly to that heading. At the bottom of each page is a hyperlink to return you to the Table of Contents.

### **EAMS Hours**

Monday – Saturday: 6:00 a.m. – 8:00 p.m.  
Sunday: Closed

EAMS is available during the hours posted above. If DWC conducts scheduled system maintenance, the e-file administrator will be notified. If there is an unscheduled maintenance, DWC will notify the e-file administrators by e-mail.

DWC's system batch processes every 2 hours starting at 8:00 a.m. If the system batch volume exceeds the set processing limit, the filed document may not appear until the second batch process is completed.

### **EAMS Links and Email Addresses**

A list of pertinent website links and email addresses is at Appendix B.

### **EAMS Basics**

You must comply with all applicable Labor Code sections and regulations, regardless of whether or not these are listed and/or covered in this Guide.

### **INTEGRATED CASES AND PRODUCT DELIVERY CASE FILES:**

A main purpose of EAMS is to integrate the DWC's multiple unit files into one seamless case management system. In EAMS, this is done using "integrated case" and "product delivery cases." The integrated case is the umbrella, which contains overarching injury information and under which each of the product delivery cases reside. The product delivery cases are the unit-specific portions of the case file in EAMS. For purposes of filing, you need to know the Product Delivery Unit (PDU) names:

INT—Integrated Case

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ADJ—Adjudication Case (court case)  
RSU—Return to Work / Supplemental Job Displacement Benefit Case  
DEU—Disability Evaluation Unit Case  
UEF—Uninsured Employers Benefit Trust Fund Case  
SIF—Subsequent Injuries Benefit Trust Fund Case

Each one of the Product Delivery Units is a “case” under the INT case. For example, a Request for Summary Rating Determination only opens the DEU PDU case. If you then file an Application of Adjudication of Claim, this document is to be filed as a “new case” so it opens the ADJ PDU case. You cannot just change the prefix on the DEU case number.

### **UNIFORM ASSIGNED NAMES**

Currently, only claims administrators’ offices, representatives’ offices and lien claimants have Uniform Assigned Names (UAN) and they must have a UAN.

A claims administrator’s office for EAMS purposes is:

- An insurance company that self-administers its own claims
- A self-insured employer that self-administers its own claims
- A third party administrator (TPA)

For example:

State Compensation Insurance Fund is an insurance company that self-administers its own claims. It has several UANs depending on the type/location of the claim – e.g. SCIF INSURED EUREKA

Solar Turbines, Inc. is a self-insured, self-administered employer – SOLAR TURBINES SAN DIEGO

Keenan & Associates is a TPA – KEENAN ASSOCIATES RIVERSIDE

A representative’s office for EAMS purposes is:

- A law firm
- A sole-practitioner attorney
- A non-attorney representative who is not employed by its client

For example:

Rose, Klein & Marias – ROSE KLEIN SAN DIEGO

But, the individual attorneys within a law firm are not given their own UAN

But a sole-practitioner attorney must have a UAN

Law Office of Pierre Vaughn – PIERRE VAUGHN SAN DIEGO

A non-attorney entity that represents lien claimants does have a UAN  
Alliance Medical Billing – ALLIANCE MEDICAL BILLING IRVINE

A non-attorney person that represents several different lien claimants must have a UAN  
Scott Sherman – SCOTT SHERMAN RAMONA

But a hearing representative who is employed in-house by the lien claimant or claims administrators' office does not have a UAN.

A lien claimant's office for EAMS purposes is:

- An individual
- An organization
- A service provider
- A law firm

For example:

EDD SDI office filed a lien for recovery of benefits paid to the injured worker. It has several UANs depending on the type of benefit and location of the office – EDD SDI SAN BERNARDINO

Please check the online database for the UAN:

[http://www.dir.ca.gov/dwc/EAMS/EAMS-LC/EAMS\\_ClaimsAdmins\\_Reps.htm](http://www.dir.ca.gov/dwc/EAMS/EAMS-LC/EAMS_ClaimsAdmins_Reps.htm)

before preparing your form.

### **AUTHOR FIELD**

Use the UAN if the entity preparing the document is a claims administrators' office or a representatives' office.

Lien claimants have a uniform assigned name. The uniform assigned name must be used in the author field on the unstructured e-forms and attachments to the e-forms that are being submitted.

For example, attorney Bob Jones of Rose, Klein & Marias prepared a DOR with a Proof of Service. The author for the Proof of Service would be "ROSE KLEIN SAN DIEGO"

If the party preparing the document is neither a claims administrator's or representative's office, then it would be the individual's/entity's name



For example, attached to the DOR is the medical report of John O'Brien, M.D. The author for this attachment would be "JOHN OBRIEN MD"

Subpoenaed employment records: The author would be the name of the employer

- **Author Summary:**
  - **Your UAN** – if it is a document prepared in your office
  - **Medical Practitioner's Name** – if it is a medical report
  - **Facility/Entity Name** – if it is subpoenaed records
  - **Claims Administrator's UAN** – if prepared in their office
  - **Employer's Name** – if prepared by the employer
  - **UAN** – if it is a document prepared by an entity with a **UAN**

Do not use punctuation or special characters.

### **FORMATS**

**Dates:** Enter in the following format: MM/DD/YYYY. Use of future dates will not be accepted, unless the field specifically requires a future date. Incomplete dates will not be processed and will be rejected. A continuous trauma date of injury (DOI) requires both a valid start date and a valid end date.

**Social Security Number (SSN):** Enter all nine (9) digits with no spaces or special characters, e.g. no slashes, dashes or periods.

**Address:** Enter following USPS standard abbreviations. A list of the most common are listed in Appendix C.

**S-signature:** Enter in the following format: S space FIRST NAME space LAST NAME – no middle names or initials and no prefixes or suffixes. (For Example: S JOHN JONES.)

**Punctuation:** Do not enter punctuation in any name or address field. For example, a person with the name Rose Robinson-Crusoe should enter the name as Rose Robinson Crusoe.

**Scanned documents:** The preferred format for scanned attachments is PDF-A1A. If not available, PDF-A is recommended. Other acceptable formats are Word, TIFF, PDF or

Excel. The system does not accept JPEG, GIF or Word Perfect, and scanning in color is not allowed.

### **DOCUMENT TITLES**

The Document Title field that appears in the unstructured e-form includes both internal (for DWC use only) and external document titles. Please use **only** the external document titles. The list of these external document titles is contained in the “Document titles list” form and can be found in the EAMS OCR forms webpage at: <http://www.dir.ca.gov/dwc/forms.html>. The document titles list should be printed and kept at all stations where filing will be done. It is in an Excel format and can be saved to your computer’s desktop for easy reference.

## **III. Filing Procedure**

### **Preparation**

This is the key to successful e-filing.

Gather all necessary information, including the EAMS case number, Uniform Assigned Names (UAN) of all such case participants, injured worker's name, all addresses, Date of Injury (DOI), Date of Birth (DOB), Body Part code numbers.

This information can be gathered either from a search of the case in EAMS, if it is an existing case, or by using the workers' compensation public information case search tool found on the EAMS main webpage at: <https://eams.dwc.ca.gov/WebEnhancement/> (See also [Searching](#) in EAMS below)

We recommend you use the workers' compensation public information case search tool. This allows a search not only by an EAMS case number but also by the injured worker's name, and allows the user to see all the cases in which the injured worker is listed. When searching in EAMS, you will only see those cases in which your office is a listed case participant. Use of the search tool frees up your EAMS access for more filing.

The search result verifies the EAMS case number, the correct spelling of the injured worker's name, and the UANs of the claims administrators' and representatives' offices. You must use the correct data as contained in EAMS. If the correct data is not utilized, your documents will err to the Unprocessed Document Queue (UDQ). (See also [Correcting Information in EAMS](#) below)

Prior to login, prepare all documents that are to be attached to the e-form such as proof of service, medical reports, signed settlement documents, etc. These need to be scanned and labeled before starting to prepare an e-form.

### **Login**

The link to access the e-filers EAMS login page is:

<https://eams.dwc.ca.gov/external/logon.jsp>

You must enter your Username and Password. They are both case sensitive, and are to be entered in the case as provided.

Only one person can be logged in at a time for each log in for your office. Please remember:

- After 15 minutes of inactivity on EAMS, you will be timed out.

- After 30 minutes of inactivity on any e-form, you will be timed out, and will lose the data you have entered.
- Note: If you are working on an e-form and EAMS times you out after 15 minutes of inactivity, you can still submit your e-form if done within 30 minutes.

## Structured E-form

From the External Users Home Page, click on “eForms” in the left hand Navigation menu. This takes you to the list of structured e-forms.

Click on the desired e-form. Each e-form opens with a Document Coversheet. The Document Separator Sheet is hidden and automatically created when you click submit.

Do not make the e-form page full screen. You will lose the navigation arrows in the upper right.

**Do not have more than one e-form open at a time.** If you do, you will end up with a blank form being filed or the incorrect Doc Title listed on the form you are attempting to complete. (See Successful Batch ID but no Number below)

When entering the EAMS case number, ensure there are no spaces between the product delivery (e.g., ADJ) and the digits, or at the beginning/end of the case number.

If you have the EAMS case number, do **not** enter the Type of Injury (specific or CT), DOI, SSN or Body Part Codes on the Document Coversheet. This may lead to errors. For example, if you have the case number entered correctly, but the SSN has transposed digits, the filing will err to the UDQ. (See Amended Application for Adjudication of Claim for the only exception).

If filing a case opening document (see list below in Section VI) leave the case number field blank. Do **not** type in “unassigned,” “N/A,” etc.

Some of the e-forms have been modified to prevent/allow you to only enter specific information on the Document Coversheet and to now require you to enter additional information in the body of the e-form itself. These changes have been implemented to help you reduce the number of inadvertent errors made. At this time, the modified e-forms are: Application for Adjudication of Claim, Compromise and Release, Declaration of Readiness to Proceed, Declaration of Readiness to Proceed – Expedited Trial, Notice and Request for Allowance of Lien.

The first five (5) pages of each structured e-form are the Document Coversheet. If you are not listing multiple companion cases, skip the pages two (2) to five (5), and click on Form 1, the first page of the e-form. Complete each page as necessary, and continue clicking the Form tabs until you have completed all pages of the e-form.

Spelling is important. Misspellings in mandatory fields will allow the batch to be submitted, but will cause the batch to err to the UDQ. Check your spelling constantly.

Use the correct, exact Uniform Assigned Name (UAN) assigned to your firm, claims administrators' and representatives' offices in the case.

Text fields are limited and the limits are listed. If you enter more characters than allowed, it will be truncated. If you need to list more information, use an attachment option instead.

If there is more than one employer, claims administrators' office and/or representatives' office, and the form does not have sufficient fields, list their information on an attachment providing all the information as if you were entering the complete information on the form itself.

### **[Attachments to Structured E-form](#)**

After you have completed all the fields on the structured e-form and you have an attachment, such as your Proof of Service, **click on the Attachment tab at the top.** Do **not** file attachments to an e-form separately by using the unstructured e-form.

Fill in the required fields such as Document Type, Document Title, Document Date, and Author and click browse to upload the file as an attachment. If you have more documents to attach, click "Attachment" on the page and repeat the previous procedure. When complete, click done. This closes the additional attachment window and returns you to the e-form page.

Do not file as attachments the OCR version of the e-form. (Exception: See [S Signature section](#) below regarding forms with multiple signatures)

### **[Submitting Your Structured E-form](#)**

Complete the structured e-form and attach all attachments. Then click on "Print PDF" link." Print the structured e-form for service and save a pdf copy to your computer. Any attachments to this e-form do not print or save from this link.

Click Submit. If all mandatory fields (marked with an asterisk (\*)) have been completed, the batch will be successfully submitted. You will receive a Batch ID page with an ID number and the date and time the document was submitted. Print and save this Batch ID page, it may be saved as a text file. This information will be used if your time sensitive filing errs into the UDQ and you need confirmation of the initial date the document was submitted for the UDQ operator.

If the e-form does not successfully submit, the system will return you to the mandatory field that is missing the required data. Correct the mistake, re-print and save the PDF and click Submit. Repeat as necessary. When the mandatory fields have been fully completed, the batch will submit.

Remember, you are only submitting your batch. It is not considered "filed" until it has been processed, but your submission date is your "filing date," except for submissions sent after 5:00 p.m., Saturdays or Holidays when the filing date will be the next business day. Log out of EAMS.

## [Unstructured E-form](#)

These are any documents not found on the e-form link on the External Home Page, such as a Petition, proposed trial exhibit, Medical Report, Trial Brief, Notice of Representation, Substitution of Attorney, etc. It is any form or document that needs to be filed but is not a direct attachment to a structured e-form.

At the lower left on the e-form page, click on "UNSTRUCTURED EFORM." This opens the screen which is a combined Document Coversheet and Document Separator Sheet.

Enter the main EAMS case number in the master case number field. If your document is to be filed in companion cases, enter the case number(s) one at a time in the "Enter Companion Case Number" field and click "ADD."

Select the proper Case Type, Document Type and Document Title from the drop down menus. Enter the Document Date and Author. Click on Browse to locate and upload the document. Click on the Attachment button. The uploaded document file name is displayed in the File Upload field. If attaching one document, click Submit. If there is more than one attachment, start at the top of the page, and repeat the procedure filling in all fields and clicking attachment. Repeat as necessary, and click Submit when done.

**When you prepare an unstructured e-form, do not include a scanned-in OCR Document Coversheet or Document Separator Sheet.**

There is no "Print PDF" option. It is best to take a screenshot of the page showing all the documents. After you click the submit button, you will receive the Batch ID. Print and save this Batch ID page, it may be saved as a text file. This information will be used if your time sensitive filing errs into the UDQ and you need confirmation of the initial date the document was submitted for the UDQ operator.

## [Confirmation of Filing](#)

Remember, submission of your e-form does not constitute filing. Only when it has successfully processed into EAMS is it considered filed.

EAMS performs a batch process approximately every 2 hours beginning at 8:00 a.m. If your batch is successful, EAMS populates case information, saves the forms and documents in the case document repository called FileNet and when appropriate, enters events and notifies and assigns tasks to the appropriate DWC staff.

If you filed a case opening document, you can search EAMS to obtain your case number. If you file an Application for Adjudication of Claim, you will receive a data mailer Notice of Application. The data mailer Notice of Application will be served to you using your preferred method of service.

A successful batch may log “Events” in the case. You can view these Events from the Product Delivery Case Home Page. Search for the case, open the Case Home Page, and click on Events in the left hand Navigation menu. Often the Event will appear before the actual documents are shown in FileNet.

To see your e-form and documents, after you have searched and found your case, click on the “INT” tab in the upper left. Scroll down to the Case Documents section and click on the initials of the Product Delivery. (e.g., “ADJ”) A FileNet page will open listing all the documents in EAMS. You can open, sort and view the documents.

If your batch is not successful, it will be routed to the UDQ. Our UDQ operators review the erred batches daily. If the error is minor, they may correct it and reprocess the batch. Otherwise, the UDQ operators will delete the batch, send your e-form administrators an email with describing the errors so that you will make the corrections and re-submit the e-form.

If you do not find your document immediately, do **not** re-submit a batch until you have heard from the UDQ operator.

If your documents do not appear in FileNet by the next day, one of your e-form administrators may email the EAMS Help Desk for assistance. They will tell you whether or not the batch is in the UDQ. If it is in the UDQ, wait until you receive the email from the UDQ operator informing you about the errors. If it is not in the UDQ, then send an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with the required information (See email section below). Do not contact the District Office.

## **IV. GENERAL TOPICS**

### **ADJ Home Page Applicant – Defendant Section**

When you file an e-form you are generally added as a case participant, but unless it is a case opening document, you will not be automatically added to the applicant – defendant section on the ADJ Case Home Page. As a case participant, you will receive District Office Notices, Orders, Awards, etc. even if you are not listed on the applicant – defendant section of the ADJ home page. At a conference on the case, you may ask to be added in the applicant – defendant section on the ADJ Case Home Page. Note that clerks and secretaries are instructed to update the applicant – defendant section from the list of case participants before sending out notices, etc. Do not email the EAMS Help Desk, Central Registration Unit (CRU), E-Forms or the UDQ operators to have this done.

### **Addresses**

We follow the United States Postal Services (USPS) standard for address abbreviations. (See Address Abbreviations below)

Do not use any special characters or punctuation – except when the street address includes “1/2”.

Enter your address exactly as it is listed for your UAN.

### **Injured workers residing out-of-the country:**

When submitting case opening documents where the injured worker resides out-of-the country, the following steps must be followed: If the injured worker is represented, use the injured worker’s attorney’s address. If the injured worker is not represented, use the defense attorney’s or claims administrator’s office address. However, you must insert the correct out-of-the country mailing address in the sections of the e-forms listed below:

Application for Adjudication	in paragraph 2 on Form 4
Compromise & Release	in the Comment Section on Form 8
C&R Dependency	in paragraph 9 on Form 5
Third Party C&R	in paragraph 10 on Form 5
Stipulations	in paragraph 9 on Form 8
Stipulations (Death)	in paragraph 5 on Form 4

You must then send an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) stating that the case opening document was filed with an incorrect address for the injured worker who lives out-of-the



country and request that the address be updated. You must include the injured worker's name, correct out-of-the country mailing address, DOB, DOI, and Batch ID. The UDQ supervisor will correct the address.

### [Archived Case](#)

If your batch "submits" and the case has been archived, the UDQ operators will un-archive the case and assuming no other issues or errors have taken place, the batch will be re-processed. Note that it takes up to two (2) hours from the time the un-archive action is initiated before the case is retrieved.

If you file a DOR and receive a message that the case cannot be set because the case is archived, send an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with the injured worker's name and case number with "ARCHIVED CASE" in the subject line. Send only one email per day with all the archived cases listed.

### [Asbestos Cases](#)

You must file your DOR in asbestos cases in Long Beach and San Francisco only by OCR. There are specific Workers' Compensation Administrative Law Judges (WCJs) that handle these cases. They do not have open calendar slots because they only handle asbestos cases.

### [Attachments](#)

**When you attach a document to an e-form or file an unstructured e-form, do not include a scanned-in OCR Document Coversheet or Document Separator Sheet.**

Do not highlight fields on the OCR version of the form to be attached. This makes the fields illegible (See Appendix D, Sample of Defective Highlighted OCR Form)

For an ADJ filing, if you cannot find a Document Title to match your document: use document type "ADJ – MISC" and document title "CORRESPONDENCE-OTHER." Do not use the document title "TYPED OR WRITTEN LETTER" unless this is a matter that needs to be brought to the immediate attention of the WCJ. Even though your document is a "typed or written letter," you cannot use the document title "TYPED OR WRITTEN LETTER."

If you are filing multiple documents of the documents listed below, scan them into a single multi-page document. Do not file them separately. For example, multiple PR-2s forms should be assembled in chronological date order and scanned into one multiple page document as opposed to scanning multiple single PR-2s documents individually.

Benefit Notices – separate your TTD and PD notices  
Explanation of Benefits (EOBs)  
LC § 4906(g) statements  
Lien bills  
Medical Management Reports  
Physical Therapy Notes  
PR-2s

Review your scanned documents before you attach them to an e-form or file them as unstructured. You need to verify that all pages are attached, that they are legible and in proper order.

### [Batch ID and a Deleted Batch](#)

If there is an error which requires deletion of your e-filed batch by the UDQ operator, you will receive a communication from the UDQ operator informing you that the batch has been deleted and will have to be re-submitted due to the errors. You have 15 business days to correct the deleted efiled batch error. From your unsuccessful e-filing, you have received the Batch ID page. When **you** re-submit your e-filing within the appropriate timeframe, attach your original Batch ID page as proof of your timely submission. (Cal. Code of Regs., Title 8, §10222.)

When attaching the original Batch ID to your re-filed e-form/document as an attachment, use document type “ADJ – MISC,” and document title “CORRESPONDENCE-OTHER.” Label the attachment file “Batch ID,” which will assist the UDQ operator in locating the document in FileNet.

You do not need to attach the rejection email from the UDQ operator, but you should keep it and print a hard copy for your records. It is also advisable that you keep the Batch ID pages, both electronically and in hard copy in the event you may need to use them in the future.

When you have verified that the document is in FileNet, send an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) and request that they correct the filing date back to your original submission date.

### [Batch ID Number Blank](#)

When you are preparing an e-form, be very careful not to open more than one form at a time. E-forms are a FileNet application. Each e-form has its own unique e-form ID, and the data that is submitted is based on the form ID. If you open an e-form, and accidentally open a second e-form, the second form’s ID overrides the first form’s

ID. Even if you close the second e-form and properly fill in the data on the first e-form, the e-filing will not be successful. The opening of the second e-form will cause the system to activate the ID of the wrong form (e.g., the second e-form) and your data will not populate the form fields of the first form. The opening of the two forms will cause the ID of the second form to overwrite the ID of the first form.

If you accidentally open more than one e-form at one time, close all e-forms, click on the “Home” link or radio button and then click on e-forms again and open only one e-form.

This may occur as well if two (2) or more users are inappropriately accessing the system using the same login at the same time.

## **Body Part Codes**

Only use the body part codes set forth in the Body Part Codes List found on the OCR Forms page in the DWC website (See, Appendix B, and Website Links).

Do not add “Left” or “Right” in reference to body parts. Specify this information in a text field in the case opening document or in an addendum. If submitting an e-form, use the following available text fields:

Application for Adjudication	in paragraph 2 on Form 4
Compromise & Release	in the Comment Section on Form 8
C&R Dependency	in paragraph 9 on Form 5
Third Party C&R	in paragraph 10 on Form 5
Stipulations	in paragraph 9 on Form 8
Stipulations (Death)	in paragraph 5 on Form 4

For cases with more than 5 body parts to enter, be sure to use the inclusive code numbers.

## **Case Number**

Do not add the new EAMS alpha prefix to the Legacy Case Number.

For example: SFO01234567 does not convert to ADJ01234567.

The numeric portion of EAMS case numbers do not begin with a zero, which differs from ADJ Legacy Case Numbers.

Also, do not insert spaces between the three-letter prefix and the numbers. See examples of correct and incorrect numbering below:

**USE:**                      **DO NOT USE:**

ADJ999777555      ADJ 999777555

If you only have the legacy case number, you can use the EAMS case number look-up tool on the website to find the EAMS case number. (See, Appendix B, Links).

## [Central Registration Unit](#)

The Central Registration Unit is a unit within the Division of Workers' Compensation which maintains the website list of uniform names and addresses of claims administrators' offices and representatives' offices. (Cal. Code of Regs., Tit. 8, §10210(f).)

## [Change of Address](#)

To submit a change of address, follow the steps below:

Injured worker or non-UAN employer:

1. Submit an Amended Application of Adjudication of Claim e-form with the injured worker's new address and entering "CHANGE OF INJURED WORKERS ADDRESS" in paragraph 2 of the e-form,  
Or
2. Submit a letter using the document type "ADJ – LEGAL DOCS," and document title "CHANGE OF ADDRESS."

UAN employer – Claims Administrators' office or Representatives' office:

Send an email to [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV) with an attached new letterhead

## [Change of Claims Administrators' Office](#)

This is similar to the change of handling location, the only difference is that on this occasion the change is from one claims administrators' office to a completely different office, not just a location change.

If you desire a change of claims' administrators' office due to a file transfer or due to an office closure, you may send an email to [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV) requesting the change. You should send an email to the address only once per day. In order to notify the parties, you must prepare a Notice of Change of Claims Administrators' Office and serve it on all case participants. It is not necessary for you to e-file the Notice, and do not attach the Notice to your email to CRU.

To process a Change in Claims Administrators' Office, CRU needs the following information:

- (1) EAMS Case Number
- (2) Injured Worker's Name
- (3) UAN with EAMS Reference Number (ERN) for both the "transferring office" and the "transferred to office."

If you are requesting only one transfer, you may put the request in the body of the email, which is being sent to CRU. In the subject line of your e-mail, please indicate the subject of your communication (e.g., "CASE TRANSFER FROM ESIS TAMPA – 3729340 TO CORVEL OXNARD – 4787030.")

If you are requesting multiple changes, please provide the information by attaching an Excel spreadsheet.

- Column 1: Injured worker first name
- Column 2: Injured worker last name
- Column 3: EAMS case number
- Column 4: Existing claims administrator's UAN
- Column 5: EAMS reference number for the existing UAN
- Column 6: New claims administrator's UAN
- Column 7: EAMS reference number for the new UAN
- Column 8: Type: R for representative, CA for claims administrator
- Column 9: Type of representation if applicable: A for applicant, D for defense

The injured worker's name is necessary to verify accuracy of the case number. For injured workers with multiple cases, list each case on a separate line as reflected in the above table. Do not list the case numbers side-by-side. See the example below:

Injured Worker first name	Injured Worker last name	ADJ case number	Old UAN	Old ERN	New UAN	New ERN	Type (R for rep CA for claims)	Type of representation A for Applicant D for defense
JANE	DOE	ADJ123456	CORVEL CHINO	4662237	CORVEL OXNARD	4787030	CA	D
JANE	DOE	ADJ777777	CORVEL CHINO	4662237	CORVEL OXNARD	4787030	CA	D
JOHN	SYMTHE	ADJ456123	DENNIS FUSI CARSON	4421695	DENNIS FUSI LAKEWOOD	4922051	R	A

The UAN and ERN for both the "transferring office" and the "transferred to office" are also required.

The CRU administrator will make the changes in the Case Participant Page and on the ADJ Home Page, entering a note as to why the change was made.

You must serve all case participants as discussed above.

### [Change of Handling Location](#)

New offices and changes of name, location, mailing address, telephone, e-mail, fax, or preferred method of service must be registered with the CRU. Send the change by e-mail to [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV)

#### **Please do not ask the district office staff to do this for you.**

You may send an email to [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV) requesting a transfer of a file(s) between multiple offices of the same representative's firm or claims administrator whether it is just a file transfer or due to a closure. You are to send such an email only once per day.

You must also prepare a Notice of Change of Handling Location to serve on all case participants. You do **not** e-file this Notice, nor do you attach it to your email.

**NOTE:** This is only on cases in which one of your offices is already a case participant, and you are merely shifting the file to another one of your offices. It does **not** apply when you want to add your office as a case participant for the first time. For that, you need to file your Notice of Representation (NOR). If one of your offices is not already a case participant, we will not process a Change of Handling Location.

Companion cases: even if you are listed as a case participant in one case, it does not mean that you were to have been so listed in any companion cases. You will need to file your NOR but only when you can establish that you should be a case participant to that case.

To process a Change in Handling Location, we need the following:

- (1) The EAMS Case Number
- (2) Injured Worker's Name
- (3) UAN with ERN for both the transferring office and the transferred to office
- (4) Type of entity: R for representative, CA for claims administrator
- (5) Type of representation: A for applicant, D for defense

If there is only a single transfer, you may put the request in the body of your email. Please note in your email, something to the effect: "CASE TRANSFER FROM DENNIS

FUSI CARSON – 4421695 TO DENNIS FUSI LAKEWOOD – 4922051” or CASE TRANSFER FROM ESIS TAMPA – 3729340 TO ESIS FREMONT – 3844305”

For multiple changes, please prepare an attachment in Excel.

- Column 1 Injured worker first name
- Column 2: Injured worker last name
- Column 3: EAMS case number
- Column 4: Existing claims administrator’s UAN
- Column 5: EAMS reference number for the existing UAN
- Column 6: New claims administrator’s UAN
- Column 7: EAMS reference number for the new UAN
- Column 8: Type: R for representative, CA for claims administrator
- Column 9: Type of representation if applicable: A for applicant, D for defense

The injured worker’s name is necessary to verify accuracy of the case number. For injured workers with multiple cases, list each case on a separate line as reflected in the above table. Do not list the case numbers side-by-side. See the example below:

Injured Workers first name	Injured Workers last name	ADJ case number	Old UAN	Old ERN	New UAN	New ERN	Type (R for rep CA for claims)	Type of representation A for Applicant D for defense
JANE	DOE	ADJ123456	CORVEL CHINO	4662237	CORVEL OXNARD	4787030	CA	D
JANE	DOE	ADJ777777	CORVEL CHINO	4662237	CORVEL OXNARD	4787030	CA	D
JOHN	SYMTHE	ADD456123	DENNIS FUSI CARSON	4421695	DENNIS FUSI LAKEWOOD	4922051	R	A

The CRU administrator will make the changes in the Case Participant Page and on the ADJ Home Page, entering a note as to why the change was made.

Remember, you must still serve all case participants.

### **[Change Of Primary/Alternate Administrator](#)**

You must submit by email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) a fully completed “amended” e-form agreement, setting forth all the information. Both administrators must date and sign. (See [Appendix A](#))

## [Companion Cases](#)

When you list companion cases either on the Document Coversheet or in the unstructured e-form, the documents are filed in all of the cases. Do not re-file the form or documents separately in all of the cases.

Do not select the radio button “Companion Cases Exist” unless you are listing companion cases, and do not enter companion cases on the Document Coversheet for the following e-forms:

Application for Adjudication of Claim

Amended Application for Adjudication of Claim

Answer

Case opening settlement documents (see exception when filing [settlement documents](#).)

Notice and Request for Allowance of Lien

Request for Summary Rating

Request for Consultative Rating

## [Correcting Information in EAMS](#)

If you find that information in EAMS is not correct or accurate, send an email to [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV) or [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with the case number and injured worker’s name to have the information corrected before filing any new documents in the case. Be sure to attach documentation, if any, to support your requested change.

Common examples of terms for correction:

- Spelling of the injured worker’s name
- Spelling of the employer’s name
- Removal of punctuation in names or addresses
- Date of Injury
- Date of Birth

## [Cover Letters](#)

You are not required to file cover letters or transmittal letters as a separate document.

If you use a “FILE and SERVE” cover letter WITHOUT a proof of service, scan the letter with the document being submitted. Do not attach the letter separately.



If the "FILE and SERVE" cover letter is a proof of service for any e-form, scan the letter and use the document type ADJ – LEGAL DOCS, and document title PROOF OF SERVICE.

### [Cross-Examination of Rater](#)

The DOR does not currently have cross-examination of a rater as a hearing type.

Until this change is implemented, file a walk-through OCR DOR, leaving the type of conference section blank. In the issues section, select "Other" and type in "CROSS-EX OF RATER. In the "Declarant states" section type CROSS-EX OF RATER – NEED TO SET FOR TESTIMONY. Follow the District Office's DOR walk-through requirements.

### [Date of Injury \(DOI\)](#)

Dates must be entered in the MM/DD/YYYY format. A continuous trauma DOI requires both a "start date" and an "end date" in this format.

For Example: For a cumulative trauma DOI is represented as 12/01/2010 through 12/01/2011. The start date is 12/01/2010 and the end date is 12/01/2011.

### [Dismissal of Attorney](#)

(See [Notice of Representation – Substitution of Attorney](#) below)

### [Document Titles](#)

Currently in e-forms, the Document Titles that appear include both internal (for DWC use only) and external titles (for public use). **Only** use the external Document Types and Document Titles. The list of these external document titles is located on the DWC EAMS webpage (see [Appendix B](#)). It is in Excel format and can be saved to the desktop of all computers.

Do not use any Document Titles that would be used by DWC staff such as "AWARD," "ORDER" or "NOTICE OF INTENT."

For ADJ, use only the following Document Types:

- LEGAL DOCS
- LIENS AND BILLS
- MEDICAL DOCS
- MISC

Document Types of EMPLOYER or EVIDENCE are only used by DWC staff. Do not use Document Titles that are not found on the OCR Document Title List. If the Document Titles on the Document Title List do not correctly identify your document, use Document Title ADJ – MISC, and Document Title CORRESPONDENCE-OTHER. Only use “TYPED OR WRITTEN LETTER” for something that must be brought to the immediate attention of the WCJ. This will generate a task in the MISC Document Queue which will be assigned to a WCJ.

## Duplicate Filings

Do not file duplicates of forms or documents that are already in the case file, whether in hard copy or electronic format. If you do not see your form or document in FileNet by the next business day it may have erred into the UDQ. You can email the [EAMSHelpDesk@dir.ca.gov](mailto:EAMSHelpDesk@dir.ca.gov) to determine whether the document erred into the UDQ. If your batch erred into the UDQ, do not re-file the document until you receive an e-mail from the UDQ operator with further instructions. The UDQ operator may be able to correct your error and reprocess the batch for successful processing. A duplicate re-filing will end up in the UDQ again causing even further delay in your filing. Do not fix and resend your document even if the EAMS Help Desk advises you what caused the document to err. Please wait until contacted by the UDQ operator to avoid going through the process multiple times.

## **WAIT UNTIL YOU HEAR FROM THE UDQ OPERATOR BEFORE RESUBMITTING YOUR FILING.**

If you do not see your form or document in FileNet by the next business day and it did not err into the UDQ, it may have been filed in the wrong case due to entering an incorrect case number in the Eform. Do **NOT** re-file. You may email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with all the required information: Batch ID, injured worker’s name, DOB and EAMS case number.

Before you file your proposed trial exhibits, check the case documents first before filing. If the documents are already in the case do not re-file.

Do not file prior Minutes of Hearing, Orders/Awards, or anything issued by the WCJ/District Office unless specifically required by the WCJ. They are already in the case file.

## Emails

Only the e-form primary or alternate administrators are allowed to call or email the EAMS Help Desk, the UDQ operator or CRU. Email is the preferred method of contact. Any emails or calls from persons other than the administrators will not be addressed and will be deleted without reply.

Direct your emails as follows:

[EAMS Help Desk](mailto:EAMSHelpDesk@dir.ca.gov) – for information and assistance or as specified in this Guide  
[EAMSHelpDesk@dir.ca.gov](mailto:EAMSHelpDesk@dir.ca.gov)

[Central Registration Unit \(CRU\)](mailto:CRU@dir.ca.gov) – for issues regarding Uniform Assigned Names  
[CRU@dir.ca.gov](mailto:CRU@dir.ca.gov)

[E-Forms](mailto:EFORMS@dir.ca.gov) – for issues, problems, UDQ assistance or as specified in this Guide – if for UDQ, you must enter UDQ in the subject line  
[EFORMS@dir.ca.gov](mailto:EFORMS@dir.ca.gov)

For all emails addresses above, please make sure to state the problem or issue in the subject line. For example, “UN-ARCHIVE CASE” “UDQ” “CANNOT LOGIN” “CANNOT OPEN E-FORM”.

The following information must be included in any email to the EAMS Help Desk, CRU, e-form Administrator and/or the UDQ operator:

- Uniform Assigned Name (UAN) or Quasi-UAN
- EAMS Reference Number (ERN)
- Batch ID number
- EAMS case number or state Case Opening
- Injured worker’s name
- Injured worker’s date of birth if case opening

If instructed by DWC staff to email the District Office, please include your Uniform Assigned Name (UAN), your EAMS Reference Number (ERN), EAMS case number and injured worker’s name.

## [Error Messages](#)

Please take a screenshot of any error messages by pressing Alt + PrtScn. This will copy the page that is active on your desktop. Open a Microsoft Word document. To copy the screen shot into the word document either press Ctrl + V or right click and select paste. Save your word document and attach it to your email to [EFORMS@dir.ca.gov](mailto:EFORMS@dir.ca.gov).

For example, if you get the following error message when trying to open a case in EAMS, it is because you are not shown as a case participant:

“No case could be found which matched the search criteria”

You should conduct a Public Information Case Search to see if you are listed as a case participant. If you are not listed as a case participant, file your Notice of Representation or lien.

(See also [DOR section](#) below)

## Events

Most e-forms will create an Event when filed. Events are a history of the activity in the case. Events are found on the Product Delivery Home Page in the left-hand navigation menu.

Occasionally, due to the batch processing procedure, you may be able to see the Event, such as “DOR filed - MSC” before the form appears in FileNet.

## External Request For Action

As an e-filer, you can electronically request that a case scheduled for hearing be either continued or taken off calendar.

In order to submit your electronic request, please follow the following procedures:

First, submit your e-filed document for action using either:

ADJ – LEGAL DOCS – REQUEST FOR CONTINUANCE

Or

ADJ – LEGAL DOCS – REQUEST FOR ORDER TAKING OFF CALENDAR

Second, submit an External Request for Action using the link in the left hand navigation menu in the ADJ Case Home Page. This Request generates the task to the WCJ and/or her/his secretary. In the External Request for Action screen, enter a comment such as “Joint Request to OTOC e-filed 12/12/2011” or “Joint Request to Continue e-filed 12/12/2011” (See [Appendix E](#))

You need to confirm that your e-filed document is in the case documents. You may email the EAMS Help Desk to verify that the task was generated by the External Request for Action. Once the Help Desk has confirmed this, you wait until the WCJ has taken action.

You may view the ADJ case to confirm whether the requested action has occurred. Because the request may only be to either OTOC or continue the case, you may check the Hearing Case Home page to determine the status of your request. You may also check Events in the ADJ Case Home Page. Do not send additional emails **to** the EAMS Help Desk after the staff has advised the task was generated.

If you cannot determine whether the requested action has taken place by the day prior to the hearing, you may email the EAMS Help Desk once more to inquire whether the WCJ took action on the request. If no action **was** taken, you should contact the WCJ's secretary to follow up on your Request. The EAMS Help Desk cannot further help you in this regard; they can **only** verify that the task was generated from the External Request for Action and if the WCJ acted upon it, the results of the request.

When submitting your External Request for Action where your DOR was filed listing companion cases, you must first file your document and submit your Request for External Action in the "Driver case" (the first case number on your DOR's Document Coversheet) and include all companion cases.

## [External Users Page Views](#)

See [Appendix F](#)

## [Field Information](#)

The EAMS program is designed to match information using specified formatting defined in the fields, such as Name fields, Date fields and Monetary fields. When you insert data other than the requested information in the fields such as "see attached," this will cause the document to err to the UDQ.

For example:

You have a CT claim with multiple employers/carriers/administrators. The Application for Adjudication of Claim will only allow you to enter the name of one Employer, one Insurance Company, and one Claims Administrator. To inform DWC that there are additional employers, carriers and claims administrators you may indicate in the comment section "SEE ATTACHED ADDENDUM." The addendum should be attached to the Application for Adjudication of Claim and list the additional parties.

When filling out an E-form, if there **are** inapplicable fields, do not enter data. (e.g., do not type NONE, UNASSIGNED, Pro Per or anything else in the field. Leave the field(s) blank.)

Please fill in all requested information. Filling in only the mandatory fields on the eForm may not be sufficient, and this may render the form incomplete and potentially invalid.

## [In-camera Review and Petition to Seal Documents](#)

When you are requesting in-camera review of documents, do not e-file your documents. File your DOR requesting a conference hearing. Bring hard copies of your documents

to the hearing. If you are requesting that portions of the documents be sealed, make sure to have appropriate Document Coversheet and Document Separator Sheets.

If the WCJ issues an order sealing the documents, they will be sealed after they are OCR scanned. If sealing is not required, you can e-file the documents after the conference.

### Labeling Scanned Attachments

Your scanner automatically “labels” your document, typically with a combination of letters and numbers, e.g. “A98C88944.pdf.” You must re-label the document to accurately identify it.

When labeling your scanned documents, be descriptive – e.g. “Smith AME report” – “4906(g)” – “Fee Disclosure Statement” – “Wage Statement.” By doing this, it makes it easier for DWC to identify the document(s) you have just filed. The usage of the label (e.g., “8A8833899I.adj.pdf”) differentiates this document from other documents using the same Doc Title (e.g., Doc Title “CORRESPONDENCE-OTHER.”)

Use abbreviations when they are readily identifiable. Do not use abbreviations if they cannot be understood by others.

Example of acceptable abbreviations:

Signed C&R	Compromise and Release
Signed Stips	Stipulations with Request for Award
NOR	Notice of Representation
Pet 5710	Petition for LC Section 5710 attorney’s fee
Pet Recon	Petition for Reconsideration
Answer-Recon	Answer to Petition for Reconsideration
Smith AME 1/4/9	Dr. Smith’s AME report of 01/04/2009
POS	Proof of Service
PD Notice	Permanent Disability Notice
Wage Stmt	Wage Statement
132a	Nondiscrimination Petition
S&W	Serious and Willful Misconduct

Do **not** use the word “Exhibit” or “Evidence” in labeling your documents. Do **not** use labels such as, “Applicant 1,” “Defense A,” or “LC 10,” etc. Documents are not exhibits until so designated by the trial WCJ.

Here is an example of proper labeling:

▼ Actions Menu Items Found: 8

<input type="checkbox"/>		Title	Doc Title ▲	Doc Type	Doc Status	Admitted	Admitted Prop ID	Proponent
<input type="checkbox"/>		Benefit Printout - Taylor.pdf	BENEFIT PRINTOUT	LEGAL DOCS				
<input type="checkbox"/>		COMPROMISE AND RELEASE	COMPROMISE AND RELEASE	LEGAL DOCS				
<input type="checkbox"/>		Signed C&R - Taylor.pdf	CORRESPONDENCE-OTHER	MISC				
<input type="checkbox"/>		NOR - Taylor.pdf	NOTICE OF REPRESENTATION	LEGAL DOCS				
<input type="checkbox"/>		TD Notices - Taylor.pdf	NOTICE OF TEMPORARY DISABILITY BENEFITS (DWC 500-B)	LEGAL DOCS				
<input type="checkbox"/>		P&S Report - Taylor.pdf	P & S REPORT	MEDICAL DOCS				
<input type="checkbox"/>		POS - Taylor.pdf	PROOF OF SERVICE	LEGAL DOCS				
<input type="checkbox"/>		Wage Stmt - Taylor.pdf	WAGE STATEMENT	LEGAL DOCS				

## Legally Uninsured

If the employer is legally uninsured, do **not** put their name and address in the insurance company fields on the e-form. The legally uninsured employer does not have the role of an insurance company in EAMS. Use the appropriate radio button to identify the employer as “legally uninsured.” Leave the insurance company section blank.

Enter the claims administrators’ office UAN in the claims administrator section. If the legally uninsured employer self-administers its own claims, its UAN would be listed in this section as well as in the employer’s section.

## Medical Reports

Do **not** use “EVIDENCE” as a Document Type when attaching medical reports. If you are filing a medical report, use:

- ADJ – MEDICAL DOCS – AME REPORTS
- ADJ – MEDICAL DOCS – QME REPORTS
- ADJ – MEDICAL DOCS – P & S REPORT
- ADJ – MEDICAL DOCS – TREATING PHYSICIAN

**NOTE:** ALL MEDICAL does not mean you put all of your non-QME/AME reports together. Medical reports are filed separately. Do not scan all of one doctor’s reports together as a single document. Scan each report separately. For example, John Jones MD has 3 reports you are filing. You will scan them and file them separately.

Do not file medical reports except as set forth in 8 Cal. Code Reg. § 10222(b)(6), 10233.

## **Names – Person and Employer**

When doing a person or employer search in EAMS, please enter the name of the person and employer exactly as it is registered in EAMS. You can verify the registered names in EAMS by using the workers' compensation public information case search tool.

Unless a registered name in EAMS has an existing suffix, do not use one. For example:

- “JON JONES JR” – omit the “JR”
- “ACME WIDGETS INC” – omit the “INC”
- “PACIFIC COAST BARRELS LLC” – omit the “LLC”

When submitting documents for a deceased injured worker's case, the word DECEASED will show at the end of the last name, with no special characters, i.e. no hyphens, parentheses, etc. (e.g. JOHN SMITH DECEASED.) Do **not** abbreviate “DECEASED.”

Please omit hyphens from hyphenated last name.

For example: FRED A JONES-SMITH will be entered: FRIEDA JONES SMITH

If you identify any injured worker's or employer's names or addresses with punctuation, email the case number and injured worker name to [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV) or [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) to have the error corrected before you file your document in the case. Do not e-file your document until you receive a responsive email that the issue has been corrected.

## **Notice of Application – Incorrect Injured Worker**

EAMS's matching criteria is the injured worker's last name, date of birth, date of injury, and social security number (SSN). For common last names, it is helpful to include a SSN when submitting case opening documents.

Provide as much information as possible to avoid errors. When limited matching criteria are provided in a case opening document, it may result in the case being created for the wrong injured worker. For example, in a case where Mary Smith and Johnny Smith both have the same date of birth and no SSN, and where Johnny Smith is registered and has an existing case in EAMS, Mary Smith's case opening document may be opened with Johnny Smith as the injured worker. This would be avoided if you had provided Mary Smith's SSN in the case opening document. In this example, EAMS matched on the



registered last name and date of birth, creating the case and issuing the Notice of Application for Johnny Smith's case.

Should an error like the one described above occur, please send an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) or [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV), attaching the errant Notice of Application and the case opening document you submitted. If the SSN is available, please include the number as well.

Please manually correct the name of the injured worker on your copy of the Notice of Application and serve all case participants. Do not serve the District Office.

### **[Notice of Representation – Substitution of Attorney – Dismissal of Attorney](#)**

For Notices of Representation (NOR) and Substitutions of Attorney (SOA) that are efiled please use the email address: [EAMSNOR@DIR.CA.GOV](mailto:EAMSNOR@DIR.CA.GOV), for faster processing.  
Steps for filing NOR or SOA:

- E-file your NOR or SOA

List your UAN and ERN in the NOR or SOA. Send an email once a day to the address listed above with the NOR or SOA in the subject line. Include the following information to add you into the case(s) as a case participant:

- EAMS Case Number
- Injured Worker's Name
- Date the Document was submitted
- Batch ID Number
- Your UAN with ERN

If your request does not include all the information set forth above, it will not be processed.

If you are submitting a request for multiple cases, please submit it in either a Word document (table format - landscape if necessary) or an Excel Spreadsheet with the columns labeled as set forth below, and attach the document to your email. For example:

	<b>Case #</b>	<b>IW Name</b>	<b>Submitted Date</b>	<b>Batch ID #</b>	<b>UAN</b>	<b>ERN</b>
	ADJ234567	John Smith	12/10/2008	123456	JOHN SMITH PAOLI	856431

The extra blank column on the left is so that DWC can check it off as it is updated in EAMS.

### **FILED IN COMPANION CASES**

When you enter companion cases on the Document Coversheet, your NOR/SOA document is filed in all of the identified cases, but you are only added to the case participants list for the first case number on the Document Coversheet. When sending the document to the [EAMSNOR@DIR.CA.GOV](mailto:EAMSNOR@DIR.CA.GOV), make sure to list all the companion cases.

You may prepare a NOR on pleading paper or submit a Letter of Representation. If you are submitting a Letter of Representation, you must “cc” and serve all the case participants. If you are filing a Letter of Representation with appropriate “cc” representing service on the case participants, you do not need a separate proof of service. If you are filing an NOR or a Letter of Representation without the appropriate “cc,” you will need a separate proof of service attached as part of the NOR or Letter of Representation document. Use the Document Type ADJ – LEGAL DOCS, and Document Title – NOTICE OF REPRESENTATION for e-Filing the NOR or the Letter of Representation.

### **DISMISSAL OF ATTORNEY**

When filing a Dismissal of Attorney, use Document Type ADJ – LEGAL DOCS, and Document Title DISMISSAL OF ATTORNEY.

### **SUBSTITUTION OF ATTORNEY**

When filing a Substitution of Attorney, use Document Type ADJ – LEGAL DOCS, and Document Title SUBSTITUTION OF ATTORNEY.

To file either a Dismissal of Attorney or a Substitution of Attorney document into companion cases, you must list all the case numbers on the Document Coversheet. Do **not** file them separately for each case.

### **DISMISSAL OF ATTORNEY WITH SUBSTITUTION OF ATTORNEY**

If you are filing a Dismissal of Attorney and a Substitution of Attorney, e-File them as a single multiple page document, using the correct Document Type ADJ – LEGAL DOCS, and Document Title SUBSTITUTION OF ATTORNEY.

### **OCR Filing**

E-filers are permitted to OCR file as well as efile their documents into EAMS. You must use the OCR version of the structured form found in the DWC website. Do not use the e-form version as it will not scan.

## One Case Per Batch – One Product Delivery Unit Per Batch

Each batch is to be filed for only one Injured Worker. Do not file attachments pertaining to multiple injured workers in the same batch. Do not file unstructured documents or attachments that do not belong to the injured worker listed on the form.

You can only file documents for one Product Delivery Unit in each batch, e.g. if filing in ADJ, all documents must only use ADJ Doc Types and Doc Titles; if filing in DEU, all documents must only use DEU Doc Types and Doc Titles.

## Order Suspending Action on Settlement

If an Order Suspending Action on Settlement has issued, do **not** re-file the settlement e-form. Amend the signed document, have all parties initial the amendment(s), re-scan, and re-label as “Amended C&R” or “Amended Stips” and re-file using the Document Type ADJ – MISC, and Document Title CORRESPONDENCE-OTHER. Prepare a letter in response to the Order Suspending Action noting that you have re-filed the amended signed settlement agreement and file the letter using the Document Type ADJ-LEGAL DOCS and either Document Title:

ADJ – LEGAL DOCS – STIPS: RESPONSE TO LETTER REQUESTING INFORMATION or  
ADJ – LEGAL DOCS – C&R: RESPONSE TO LETTER REQUESTING INFORMATION.

## Petitions

All petitions are submitted as unstructured e-forms. If your Petition contains exhibits, the exhibits along with your proof of service are scanned with the Petition, as a single multi-page document. Do not e-file your exhibits to the Petition or the proof of service separately.

**Note:** If an exhibit to your Petition is already filed in the case, do not reattach it to the Petition. Make a specific reference to the previously filed exhibit, including the Doc Entry Date and the Document ID number in the Petition.

Select the proper Petition Doc Title. If there is not a comparable Doc Title, please use the Document Type ADJ – LEGAL DOCS, and the Document Title PETITION-OTHER. Label your Petition clearly, especially when using this generic Petition Doc Title (e.g., PETITION-OTHER.)

## Petition for Commutation

A Petition for Commutation is a legal document filed with the District Office. However, a Request for Commutation is filed with the Disability Evaluation Unit (DEU). You may e-

file the Petition for Commutation using the Document Type ADJ – LEGAL DOCS, and Document Title PETITION FOR COMMUTATION.

You must call the District Office and advise the ADJ clerk or staff that your Petition has been e-filed.

### [Proof of Service](#)

You **must** attach a proof of service when filing a document that is being served.

If you are filing only a single unstructured document, such as a Notice of Representation, a Substitution of Attorney, or a Petitions, etc., your proof of service is part of the document. Scan the proof of service in with the document, do not attach separately.

If your proof of service addresses more than one document, scan it separately using the Document Type ADJ – LEGAL DOCS, and Document Title PROOF OF SERVICE.

Your proof of service **must** include the following information in the upper left hand corner:

- Uniform Assigned Name
- EAMS Administrator Name
- EAMS Administrator's Phone – Direct or with Extension
- EAMS Administrator's Email

Please include the injured workers' name and EAMS case number.

### [Proposed Orders](#)

You may submit Proposed Orders and Awards with all of your Petitions, Settlement Documents and/or any other such document that requires an Order/Award from a WCJ. When labeling the proposed Orders and Awards for scanning into your system, please label them "Proposed Order" or "Proposed Award" etc. to clearly identify the document.

This document is to be filed separately from the Petition, Settlement, etc., using only the Document Type ADJ – LEGAL DOCS, and Document Title PROPOSED ORDER/AWARD.

### [Punctuation in Names/Addresses](#)

If you identify any injured worker's or employer's names or addresses with punctuation, email the case number and injured worker name to [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV) or

[EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) to have the error corrected before you file your document in the case.

Do not e-file your document until you receive a responsive email that the issue has been corrected.

## **Radio Buttons**

If you select a check-box or radio button in an e-form, you cannot deselect it. You must close the e-form and start all over again.

## **Reconsideration Or Removal**

Please use the correct document title for the petition being filed.

For a **Petition for Reconsideration**: Use only the Document Type: ADJ – LEGAL DOCS, and the Document Title: PETITION FOR RECONSIDERATION.

**For a Petition for Removal**: Use only the Document Type: ADJ – LEGAL DOCS, and the Document Title: PETITION FOR REMOVAL.

**For a Petition for Reconsideration/Removal**: Use only the Document Type: ADJ – LEGAL DOCS, and the Document Title: PETITION FOR RECONSIDERATION/REMOVAL.

Email the Control Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) that you have e-filed your Petition or Reconsideration/Removal. Your email Subject Line should state “E-filed Petition for Reconsideration/Removal.”

### **Answer to Petition for Reconsideration or Removal**

You can file using either:

Document Type: ADJ – LEGAL DOCS, and Document Title: ANSWER TO PETITION FOR RECONSIDERATION

Or

Document Type: ADJ – LEGAL DOCS, and Document Title: ANSWER TO PETITION FOR REMOVAL

Email the Recon Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV), informing them that you have e-filed your Answer to Petition for Reconsideration or Removal. In the subject line of your email state “E-filed Answer to Reconsideration or Removal.”

### **Supplemental Petition for Reconsideration or Amicus Brief**

There are three (3) steps involved in filing this Petition or Amicus Brief:

(1) Prepare your written request (letter) to file such a Petition. E-file the written request using Document Type: ADJ – MISC, and Document Title: CORRESPONDENCE-OTHER. Your letter should reference your request to file either a Supplemental Petition for Reconsideration or an Amicus brief.

(2) E-file your Supplemental Petition for Reconsideration or Amicus brief using Document Type: ADJ – LEGAL DOCS, and Document Title: SUPPLEMENTAL PETITION FOR RECONSIDERATION. – Use the above Document Type and Document Title when filing either the Supplemental Petition or the Amicus brief

(3) Email the Recon Unit informing them that you have e-filed your written request and the Supplemental Petition for Reconsideration/Amicus brief to [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV). In the Subject Line of your email state “E-filed request to file Supplemental Petition for Reconsideration” or “E-filed request to file Amicus Brief.”

### **Deleted Batch of a Petition for or Answer to Reconsideration**

If your timely submitted Petition for Reconsideration or Answer to Reconsideration failed and was deleted by the UDAQ operator, the WCAB recommends that you revise your Petition for Reconsideration or Answer to Petition for Reconsideration. Note in the initial paragraph of your revised document that it is being resubmitted and set forth the original submission date. Include as an attachment to the document the original Batch ID and the filing date of the original submission for modification pursuant to Cal .Code of Reg., Title 8, §10222.

### **Withdrawal of the Petition for Reconsideration/Removal**

When filing a Withdrawal of a Petition for Reconsideration use: Document Type: ADJ – MISC, and Document Title: CORRESPONDENCE-OTHER.

When filing a Withdrawal of Petition for Removal, use Document Type: ADJ –LEGAL DOCS, and Document Title: REQUEST TO WITHDRAW PETITION FOR REMOVAL.

Email the Recon Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) informing them that you have e-filed your Request to Withdraw your Petition for Reconsideration/Removal. The Subject Line of your email should state “E-filed Request to Withdraw Petition for Reconsideration/Removal.”

### **Settlement Submitted while Reconsideration is Pending**

E-file the settlement document as instructed in this manual.

Email the Recon Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) informing them that you have e-filed a Settlement document. In the Subject Line of the email state “E-filed C&R” or “E-filed Stipulations with Request for Award.”

### **Petition for Reconsideration of an Arbitrator’s Decision**

The Petition for Reconsideration of an Arbitrator’s Decision is processed by e-filing a Petition for Reconsideration. File your Petition for Reconsideration of the Arbitrator’s decision, and send an email to the Control Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) informing them that you have e-filed your Petition. The Subject Line of your email should state “E-filed Petition for Reconsideration.”

### **Request for Commutation**

File an unstructured eForm attaching the Commutation request form from the DWC website at <http://www.dir.ca.gov/dwc/DEU.html>. The form is filed when you are requesting the Disability Evaluation Unit to prepare a commutation calculation. Use the Product Type: DEU, Document Type: DEU FORMS, Document Title: COMMUTATION REQUEST.

Call the Disability Evaluation Unit and advise the staff that your Request for Commutation has been efiled.

### **Request for Factual Correction**

File an unstructured eForm attaching the Request for Factual Correction of a Unrepresented Panel QME report form from the DWC website at [http://www.dir.ca.gov/dwc/DWCPropRegs/QME\\_PermanentDisabilityRatingDeterminati on\\_Regs/FORMS/QMEForm37.pdf](http://www.dir.ca.gov/dwc/DWCPropRegs/QME_PermanentDisabilityRatingDeterminati on_Regs/FORMS/QMEForm37.pdf). The form is filed when an injured worker or claims administrator needs the qualified medical evaluator (QME) to correct a factual error in an unrepresented panel QME medical report. Use the Product Type: DEU, Document Type: DEU DOCS - OTHER, Document Title: FACTUAL CORRECTION FORM.

### **Searching for a Case in EAMS**

Click on the search option in the left navigation menu. Select case search and enter the ADJ case number.

If your office is a listed case participant, the ADJ case number will be displayed in the “Search Results.” If you receive the message at the top of the search screen: “No case could be found which matched the search criteria,” this indicates that your office is not

listed as a case participant. File your NOR if not previously done. If you have already filed your NOR and believe it is an error that you are not listed as a case participant, email the [EAMSHelpDesk@dir.ca.gov](mailto:EAMSHelpDesk@dir.ca.gov) with the ADJ case number, injured worker's name, DOB and the DOI for the case you are searching.

### Search by Participant Role

To search for the injured worker by Participant Role, select "Person" from the drop down menu and click on the magnifying glass beneath the field. There are three (3) ways to conduct this search:

- (1) If you know the person's EAMS reference number, enter it into the reference number field and click Search.
- (2) Enter the injured worker's first and last name, and DOB if known, and click Search.
- (3) In the "Alternate ID Type" field, select "Social Security Number" from the drop down menu, and enter the injured worker's SSN in the Alternate ID field (no spaces or dashes), then click Search.

If the injured worker is registered in EAMS, the injured worker's name will be displayed in the "Search Results." If the injured worker's name is not displayed in the "Search Results," no case exists in EAMS for the injured worker. You may then file your case opening document.

If the injured worker's name is displayed in the Search Results, click on "Select" in the last column and it will return you to the "External User Search for Information page." Click on "Search," if you are a case participant, the Search Results will display the case(s) for the injured worker. To view the case information, click on the hyperlink of the "Case Number."

If the message "No case could be found which matched the search criteria" is displayed at the top, it means that your office is not listed as a case participant. Do **not** file a case opening document. First, conduct a public case search using the "workers' compensation public information case search," at [http://www.dir.ca.gov/dwc/EAMS/EAMS\\_PublicInformationSearch.htm](http://www.dir.ca.gov/dwc/EAMS/EAMS_PublicInformationSearch.htm).

This search will list all of the cases for the injured worker. If the DOI you are searching for is not listed, file your case opening e-form document. If the public case search provides you the EAMS case number use it on all of your document filings.

### Self-Insured Employer

If the employer is self-insured, do **not** put the employer's name and address in the insurance company fields. The employer does not have the role of insurance company.



Check the radio button “self-insured” to identify that the employer is self-insured. Leave the insurance company section blank.

Enter the claims administrators’ office UAN in the claims administrator’s section. If the self-insured employer self-administers its claims, the UAN would be listed in the claims administrator’s section as well as in the employer’s section.

### Service of Notices

When ordered by the WCJ to serve a document on all case participants, e.g. Minutes of Hearing, 5-Pager, Order Approving, Award, etc., do **not** file a copy of the document with your Proof of Service unless directed to do so by the WCJ.

EXCEPTION, if service of the document will be an issue at an upcoming conference or trial, e-file the Proof of Service prior to the new hearing date. Re-label the Proof of Service, for example: “Proof of Service of Minutes of Hearing 12/12/2011” or “Proof of Service of Award 12/12/2011.”

### Service Of Your E-Form

If you have listed companion cases on your Document Coversheet, you must serve the Document Coversheet with the e-Form on all case participants. If there is only one case number, you do not serve the Document Coversheet with your e-Form on the case participants.

### Signature – S Signature

Use of the S signature is limited to electronic filing.

An S signature on the e-form shall consist of the letter S followed by the name of the person signing the document, in the following format: S JOHN JONES – not “S SIGNATURE.” Do not enter a middle name or initial.

The S signature shall be rebuttably presumed to be that of the individual whose name is on the document signature line.

You must use the S signature with the Document Titles and e-forms listed below:

#### **FORMS WITH ONE SIGNATURE - S SIGNATURE NEEDED**

10770.5 Lien Verification  
10770.6 Lien Verification  
Application for Adjudication of Claim  
Answer to Application for Adjudication of Claim

Declaration of Readiness to Proceed  
Declaration of Readiness to Proceed - Expedited  
EDD Golden Rod – 2581  
Notice and Request for Allowance of Lien  
Petition to Terminate Liability for TD  
Proof of Service  
Request for Reimbursement of Accommodation Expense  
Request for Dispute Resolution before the AD  
Request for Dispute Resolution  
Request for Summary Rating Determination – QME  
Request for Reconsideration of Summary Rating by AD  
Request for Summary Rating Determination – PTP

You must have actual “wet” signatures on:

- Forms that require either the injured worker’s or employer’s signature
- Forms that require multiple signatures (e.g., settlement documents)
- Unstructured documents (e.g., petitions, objections, medical reports, etc.).

The following e-forms with two or more S signatures or S signatures for injured workers/employers can only be submitted after the OCR document is circulated and signed by the party(ies), scanned and attached to the e-form.

Application for Subsequent Injuries Fund Benefits  
Compromise and Release  
Compromise and Release Dependency Claim  
Stipulation with Award (Death)  
Stipulations with Request for Award  
Third Party Compromise and Release  
Notice of Offer of Modified or Alternative Work  
Voucher (injured worker only)  
Notice of Offer of Regular Work (injured worker only)  
Employee’s Permanent Disability Questionnaire (injured worker only)  
Application for Discretionary Payments from the UEBTF (injured worker only)

### **FORMS WITH NO SIGNATURE LINE**

The following e-forms do not contain a signature line:

Request for Consultative Rating  
General Public Request for Information  
Unstructured e-form

You cannot use a Signature Stamp or a digital signature on any of your documents.

## **Subpoenaed Records**

Subpoenaed records are filed using Document Type: ADJ – MISC, and Document Title: CORRESPONDENCE-OTHER. You must label your file appropriately (e.g., “Subpoenaed Records-employer” or “Subpoenaed Records-Palomar Hospital.”)

If you have prepared a list of excerpted records, place the list as the first page of the selected documents when scanning them into your system.

## **Substitution of Attorney**

(See [Notice of Representation – Substitution of Attorney](#) above.)

## **Trial Brief**

To file a trial brief, use the Document Type: ADJ – LEGAL DOCS, and one of the following Document Titles: POINTS AND AUTHORITIES, TRIAL BRIEF, or HEARING BRIEF.

If the brief is filed pre-trial, do not reference any attachments as “exhibits” in the brief. These attachments are not to be called “exhibits” because the documents have not been marked as exhibits by the trial WCJ. The brief should refer to the attachment by the name or type of the document, e.g. Dr. Smith’s 10/10/2010 report. If the attachment is a proposed trial exhibit and has already been filed, do not include the attachment with the pre-trial brief.

If the brief is filed post-trial, then the brief can reference the document by its assigned exhibit designation. Do NOT attach/include the document as it is already in EAMS.

## **Trial Exhibits**

E-filers do not have to file their proposed trial exhibits prior to an MSC; they can be filed by OCR. To e-file your trial exhibits, please follow the directions below.

If the case is being set for trial at the MSC and the WCJ requires the case participants to file their proposed exhibits at that time, the OCR filer is required to file their proposed exhibits with the WCJ. E-filers are allowed five (5) working days after the MSC to file their proposed exhibits. Although the e-filers are allowed additional time to file the proposed exhibits, this does not excuse the e-filers from properly preparing their portion of the Pre-Trial Conference Statement listing their proposed exhibits or ensuring service of copies of their listed proposed trial exhibits to all case participants.

If the WCJ using her/his discretion allows the case participants to file their proposed trial exhibits by a date certain prior to trial, the OCR filer may file its proposed exhibits up to

the deadline date, The e-filer, however, shall e-file and verify in FileNet its proposed exhibits no later than five (5) business days prior to the deadline date.

If the WCJ using her/his discretion requires the case participants to file their proposed trial exhibits on the day of the trial, the OCR filer shall file the proposed trial exhibits on the date of trial. The e-filer, however, shall e-file and verify in FileNet its proposed exhibits no later than five (5) business days prior to the date of trial.

Do not to file duplicate documents. If they are already in the District Office file, either in paper or electronic form, do not file them a second time. This is especially true for medical reports and lien bills/itemized statements.

When e-filing your proposed trial exhibits, do **NOT** use the Document Type “EVIDENCE” or the Document Title “TYPED OR WRITTEN LETTER.”

If you cannot find a Document Title to categorize your document, use the Document Type: ADJ – MISC, and the Document Title: CORRESPONDENCE-OTHER.

If filing a medical report with ADJ, use:

- ADJ – MEDICAL DOCS – AME REPORTS
- ADJ – MEDICAL DOCS – QME REPORTS
- ADJ – MEDICAL DOCS – P & S REPORT
- ADJ – MEDICAL DOCS – TREATING PHYSICIAN

**NOTE:** ALL MEDICAL does not mean you put all of your non-QME/AME reports together. Medical reports are filed separately. Do not scan all of one doctor’s reports together as a single document. Scan each report separately. For example, John Jones MD has 3 AME reports you are filing. You will scan them and file them separately.

Do **NOT** file Transmittal letters or Exhibit lists. You have already prepared your exhibit list on the Pre-trial Conference Statement you submitted at the time of the MSC.

If you are using a Petition, Order or Award that was previously filed/issued, as a proposed trial exhibit do **not** re-file it. The document is in the case file, either in hard copy or in electronic format.

If there are multiple documents of the same document title listed below, scan each type of document title into a single document. Do not file the multiple documents of the same document title separately. Scan the document title listed below separately only when the document is at issue.

Benefit Notices  
Explanation of Benefits (EOBs)

LC § 4906(g) statements  
Lien bills  
Medical Management Reports  
Physical Therapy Notes

## Venue

When filing case opening documents with ADJ numbers, you must select one (1) of the following three (3) choices for venue:

1. County of residence of the employee
2. County where injury occurred
3. County of principal place of business of employee's attorney

Enter the zip code of the address corresponding to the venue selection made above. For example, if you select County of residence of the employee, enter the employee's zip code into the venue zip code box. If the venue selection zip code does not match the employee's zip code, the e-form will err to the UDAQ.

If filing an Application for Adjudication of Claim as "Applicant if other than Injured Worker," claims administrators, defense attorneys, lien claimants and lien claimant representatives' offices can only select first two venue options.

A representatives' office, filing on behalf of a party other than the employee, can only select venue from the first two options.

Claims administrators and defense attorneys filing case opening settlement documents, where the injured worker is in pro-per, can only select from the first two venue options.

Labor Code § 5501.5(b) requires the venue authorization. The venue authorization form is considered part of the application packet for both OCR and e-form filers.

The District Office staff and e-form UDAQ operators do not review each application to determine whether venue has been properly designated. Please review your venue selection to assure that *it* is appropriately selected before submitting your case opening documents. Once the case opening documents are filed, in order to change venue you must file a Labor Code §5501.6 petition.

In some cases, the address used to determine the initial venue is no longer the same. In this situation, when submitting settlement documents on an existing case, select "2. County where injury occurred" and enter the zip code for the District Office on the first page of the form and on the C&R, in the location of injury section, enter the city and zip code for the District Office. The Stipulations do not have a zip code field in the location of injury section.

## [Which WCJ Is Assigned For My Hearing](#)

If you are in the ADJ case in EAMS, view the case details on the ADJ Case Home Page. The Case Owner is the WCJ assigned to the case.

To determine the Hearing Official, click on Hearing Case in the left Navigation menu in the ADJ Case Home Page. Click on the Case Reference # to view the ADJ Hearing Case Home Page, scroll down to the bottom to see a history of the hearings for the case. Upcoming hearings will be reflected with the status "Scheduled" and will identify the Hearing Official (WCJ) assigned.

You may also see the WCJ assigned to the hearing, if one is scheduled for a future date, by using the workers' compensation public information case search at [http://www.dir.ca.gov/dwc/EAMS/EAMS\\_PublicInformationSearch.htm](http://www.dir.ca.gov/dwc/EAMS/EAMS_PublicInformationSearch.htm).

## [Withdrawal of Notice and Request for Allowance of Lien](#)

When filing a Withdrawal of Notice and Request for Allowance of Lien use: ADJ – LIENS AND BILLS – REQUEST FOR/NOTICE OF WITHDRAWAL OF LIEN.

## [Writ of Review](#)

Mail a copy of your Petition for Writ of Review or Answer only to the Reconsideration Unit at PO BOX 42959 SAN FRANCISCO CA 94142-9459.

Do **not** e-file a copy electronically or mail a copy to the District Office.

## **V. SELECTED STRUCTURED FORM SPECIFICS**

The structured e-forms listed below have been modified to prevent/allow you to only enter specific information on the Document Coversheet and to now require you to enter additional information in the body of the e-form itself. These changes have been implemented to reduce the number of errors made. The modified e-forms are:

- Application for Adjudication of Claim
- Compromise and Release
- Declaration of Readiness to Proceed
- Declaration of Readiness to Proceed – Expedited Trial
- Notice and Request for Allowance of Lien

### **Document Coversheet**

Each structured e-form begins with a Document Coversheet. Select “CTL” from the drop down menu in the location field on the Document Cover Sheet. A Document Separator Sheet is not necessary when submitting an e-form, the information entered in the Document Separator Sheet is automatically captured from the e-form.

The Unstructured E-form Document is a combination of Document Coversheet and Document Separator Sheet.

**When you attach a document to an e-form or submit an unstructured e-form, do not include a scanned in OCR Document Coversheet or Document Separator Sheet.**

#### **When submitting a Document Cover Sheet on an existing case:**

- Check “no” for new case
- Check the “walkthrough” box
- Enter the date
- Enter the EAMS case number
- Check the product delivery unit

#### **When submitting a Document Cover Sheet on an existing case:**

- Do not enter a Social Security Number
- Do not enter type of injury (specific or CT)
- Do not enter date of injury
- Do not enter body part

(See Amended Application for Adjudication of Claim for the only exception)

### **When Listing Existing Companion Cases:**

- Check the companion case radio button
- Enter the EAMS case number

### **When Listing Existing Companion Cases:**

- Do not enter a Social Security Number
- Do not enter type of injury (specific or CT)
- Do not enter date of injury
- Do not enter body part

### **When Submitting a Document Cover Sheet for a NEW CASE:**

- Check “yes” for new case
- Check the “walkthrough” box
- Enter the date
- Specify the injury type
- Enter the date of injury
- Enter the body part code
- Check the product delivery unit

### **ONLY FILE ONE NEW CASE FOR EACH DOCUMENT COVERSHEET.**

Do **not** list any companion cases even if they exist. When submitting a new case opening document e-form, only enter the new case or injury information on the Document Coversheet. (See filing a settlement document that is adding a new case to an existing case for the only exception.)

## **Document Separator Sheet**

A Document Separator Sheet is not necessary when submitting on a structured e-form, the information entered in a Document Separator Sheet is automatically captured from the e-form. When using the Attachment link in the unstructured e-form, you will be filling out information found on a Document Separator Sheet.

You must select the proper Product Delivery Unit, Document Type and Document Title and enter the Document Date and Author. For example, “ADJ” and “LEGAL DOCS” and “PROOF OF SERVICE” is in the format of “Case – Type - Document Type - Document Title.”



When using e-forms, the Document Titles that appear include both internal (DWC use only) and external titles. You are to use **only** the external document titles found on the e-form filers' web page at [http://www.dir.ca.gov/dwc/eams/EAMS\\_EformsFilers.html](http://www.dir.ca.gov/dwc/eams/EAMS_EformsFilers.html). Print and keep this list of external document titles at all stations where e-form filing is performed. The document titles list is in Excel format and can be saved to the desktop of all computers for easy reference.

**When you attach a document to an e-form or file an unstructured e-form, do not include a scanned in OCR Document Coversheet or Document Separator Sheet.**

## **Case Opening Documents**

Case opening e-forms include:

### **ADJ**

Application for Adjudication of Claim  
Compromise and Release  
Compromise and Release Dependency Claim  
Stipulation with Award (Death)  
Stipulations with Request for Award  
Third Party Compromise and Release

### **DEU**

Combined Employee's Permanent Disability Questionnaire and Request for Summary Determination - QME  
Request for Consultative Rating  
Request for Summary Rating Determination – PTP

### **RSU**

DWC-AD-10120 (RTW) Request for Reimbursement of Accommodation Expense  
DWC-AD-10133.53 (SJDB) Notice of Offer of Modified or Alternate Work  
DWC-AD-10133.55 (SJDB) Request for Dispute Resolution Before the Administrative Director  
DWC-AD-10133.57 (SJDB) Voucher  
Notice of Offer of Regular Work

EAMS matches on the IW last name, DOB, DOI, and SSN. If there is an existing person in EAMS with the same last name and DOB as in your case opening document, the case may open with that existing person. Should this occur, see Notice of Application section below.

If the case opening document is for an IW with a very common last name, e.g. Smith, Rodriguez, etc., you may enter their SSN on the Document Coversheet. If the IW does not have an SSN, or does not want to provide it, please provide this information in the

body of the e-form as specified below, or if you are already using an addendum, please provide this information in the addendum.

Application for Adjudication	in paragraph 2 on Form 4
Compromise & Release	in the Comment Section on Form 8
C&R Dependency	in paragraph 9 on Form 5
Third Party C&R	in paragraph 10 on Form 5
Stipulations	in paragraph 9 on Form 8
Stipulations (Death)	in paragraph 5 on Form 4

### **Application for Adjudication of Claim**

The Application for Adjudication of Claim e-form contains different documents dependent upon the filing party.

#### **FOR APPLICATIONS FOR ADJUDICATION OF CLAIMS FILED BY REPRESENTATIVE FOR THE IW, PLEASE INCLUDE THE FOLLOWING DOCUMENTS:**

E-form Application for Adjudication of Claim	
LC §4906(g)	ADJ – LEGAL DOCS – 4906(G) DECLARATION
Fee Disclosure Statement	ADJ – LEGAL DOCS – FEE DISCLOSURE STATEMENT
Venue Authorization	ADJ – LEGAL DOCS – VENUE VERIFICATION
Proof of Service	ADJ – LEGAL DOCS – PROOF OF SERVICE

#### **FOR APPLICATIONS FOR ADJUDICATION OF CLAIMS, FILED BY CLAIMS ADMINISTRATORS' OFFICE OR REPRESENTATIVES' OFFICE FOR THE CLAIMS ADMINISTRATORS' OFFICE,\* PLEASE INCLUDE THE FOLLOWING DOCUMENTS:**

E-form Application for Adjudication of Claim

LC §4906(g)	ADJ – LEGAL DOCS – 4906(G) DECLARATION
Proof of Service	ADJ – LEGAL DOCS – PROOF OF SERVICE

#### **FOR APPLICATIONS FOR ADJUDICATION OF CLAIMS, FILED BY THE LIEN CLAIMANT OR LIEN CLAIMANT REPRESENTATIVES' OFFICE,\* PLEASE INCLUDE THE FOLLOWING DOCUMENTS:**

E-form Application for Adjudication of Claim

LC §4906(g)	ADJ – LEGAL DOCS – 4906(G) DECLARATION
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10770.5 Verification  
Proof of Service

ADJ – LEGAL DOCS – 10770.5 VERIFICATION  
ADJ – LEGAL DOCS – PROOF OF SERVICE

\*Application for Adjudication of Claim filed by an “Applicant (other than injured employee),” enter the following information in the name field:

- Claims Administrators – Enter your UAN in the name field, the Applicant Attorney/Representative name field is left blank. Check the box “Insurance Carrier.”
- Defense attorneys – When filing on behalf of a claims administrators’ office, enter the claims administrators’ UAN in the name field and enter your Law Firm UAN in the Applicant Attorney/Representative name field. – You are the “applicant’s” attorney in this situation as your client is the “Applicant if other than Injured Worker.”
- Lien Claimants – Enter your UAN in the name field.
- Lien Claim representatives – Enter your client’s name (lien claimant) in the name field and your UAN in the Applicant Attorney/Representative name field.

Do **not** file a Notice of Representation or a Substitution of Attorney. You are automatically added to the case participants.

### **S Signatures on Applications for Adjudication of Claim:**

If filed by a representatives’ office, place your S signature in the representative’s signature field. The applicant’s signature field remains blank. Do **not** put the injured worker’s S signature on the form.

If filed by an unrepresented claims administrators’ office or unrepresented lien claimant, place your S signature in the applicant’s signature field.

### **Amended Application**

Use the Application for Adjudication of Claim e-form. Check the AMENDED box on the Form 1 tab of the e-form. Do not prepare an OCR version and file as an unstructured e-form.

Enter the injury type (specific/CT) and DOI on the Document Coversheet even though an EAMS case number exists. Failure to enter the injury type (specific/CT) and DOI information will cause EAMS to insert a default DOI of 01/01/2001.

If you are amending the Application for Adjudication of Claim to change the DOI, the **new DOI must be listed on the Document Coversheet.**

Enter in Paragraph 2 of the Application for Adjudication of Claim e-form, or in an attached addendum, the exact information being amended, i.e., DOB, DOI, earnings, occupation, body parts, etc.

For example the exact information should be stated as follows: “Amending DOI to 01/01/2008” or “Amending DOB to 01/01/1950” or “Adding Body part codes 100, 101, 103.” The amendments are manually entered into EAMS by DWC staff.

If you are attaching an addendum listing the amendment(s), use the following format: ADJ – MISC – CORRESPONDENCE-OTHER.

**NOTE:** Do **not** list any companion cases when filing the Amended Application for Adjudication of Claim. Do **not** re-file your 4906(g) declaration, venue authorization, fee disclosure statement, claim form (DWC-1), or the 10770.5 verification.

**NOTE:** Information amended by amended applications will not get updated in EAMS automatically. If it errs into the UDQ, the UDQ operator will enter the amendments in EAMS. If it does not err to the UDQ, the district office staff will then make these amendments.

### **ALTERNATIVE**

Instead of preparing the Application for Adjudication of Claim e-form, you may submit a letter setting forth what information is to be amended, i.e. DOB, adding body part codes, etc. Use ADJ – MISC – TYPED OR WRITTEN LETTER so that a task will be generated and the District Office staff will address it. This would be one of the only times you would use this Document Title.

### **Death Application**

When filing on a case where the injured worker is deceased, the word DECEASED will be added to the last name, with no special characters, i.e. no hyphens, parentheses, etc. For example, JOHN SMITH DECEASED. Do **not** abbreviate the word “DECEASED.”

Prepare the legacy Death Application form (Application for Adjudication of Claim (Death Case)), with an actual wet signature. Scan the legacy Death Application form to your system, and label it "Death Application."

E-filers should file the e-form Application for Adjudication of Claim, noting in paragraph 2 that it is a death case and the legacy Death Application form is attached.

Attach the scanned legacy death application form using ADJ – MISC – CORRESPONDENCE-OTHER. Attach all other application packet attachments noted above.

The dependent will be added manually from the death application information.

File an amended Application for Adjudication of Claim, if the deceased has an existing case in which you claim the death is related to the injury.

### [Notice of Application](#)

If you receive a Notice of Application listing a name other than your injured worker, do **not** file an amended Application of Adjudication of Claim. Email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with the case information and attach a copy of the application you filed. The EAMS system matches on the injured worker's last name, DOB, SSN, and DOI. For common last names, it may create the case for an existing injured worker if no additional matching criteria are provided. For example, an Application for Adjudication of Claim is filed for Emma Jones, and the Notice of Application reflects the case is for John Jones. DWC staff will manually register Emma Jones and transfer the filing information to her EAMS home page.

### [Answer to Application](#)

On the Form 1 tab of the Answer to Application e-form, in the field "Name(s) of Answering Party(ies)," enter the following information:

- If filing the Answer to Application by or on behalf of the claims administrator, enter the UAN of the claims administrator.
- If the Application for Adjudication of Claim was filed by the defense or a lien claimant, and the Answer is being filed by or on behalf of the injured worker, enter the injured worker's name.

Do **not** list any companion cases. File a Notice of Representation to be added as a case participant. The e-form will not automatically add case participants.

## [Application for Discretionary Payments from the UEBTF](#)

An order joining the UEBTF (Uninsured Employers Benefit Trust Fund) must issue adding UEBTF to the case before this e-form can be filed. This e-form will not open a UEBTF PDU case. Remember to use the UEF prefix on the case number when submitting this e-form.

## [Disability Evaluation Unit \(DEU\)](#)

If there is no existing DEU product delivery EAMS case number, enter the information listed below on the document cover sheet:

- Check “yes” for new case
- Do not check the “walkthrough” box
- Enter the date
- Specify the injury type
- Enter the date of injury
- Check the product delivery unit
- Include companion case numbers

Only file one new case for each document coversheet.

### **REQUEST SUMMARY RATING**

If you are requesting a rating for a Pro per injured worker prior to the filing of an Application for Adjudication, use either one of the Requests for Summary Rating Determination forms. Use the Request for Summary Rating Determination-PTP to request a rating of the primary treating physician or use the Request for Summary Rating Determination-QME to request a rating of the Qualified Medical Evaluator.

### **REQUEST FOR CONSULTATIVE RATING**

Contrary to the information previously noted pertaining to the Integrated Case and opening a new Product Delivery Unit case, where there is an existing ADJ Case Number, even if no DEU Product Delivery case is open, when listing the EAMS case number on the Document Coversheet, **do use** the DEU prefix.

- For example, case INT123456 only has an ADJ product delivery case open. When filing a Request for Consultative Rating, enter DEU123456 in the case number fields. You must also enter the type (specific or CT) and DOI on the Document Coversheet.

If there is no existing DEU Product Delivery case, the e-form will err to the UDQ. The UDQ operator will create the DEU Product Delivery case **only** if there are no errors in your filing. The UDQ operator will then reprocess the batch. If there is a DEU Product Delivery case, and there are no errors in your submission, the batch will process into EAMS.

This Request for Consultative Rating e-form is used for cases with an existing ADJ case number. You cannot e-file a walk-through Request for Consultative Rating. (See Title 8 Cal. Code of Reg. § 10280 for those documents that can be submitted on a walk-through basis.) The “walk-in” referred to on that e-form is used when you are at a hearing at the District Office. You can fill out the OCR form at the hearing, and submit it with the medicals that are not already filed in the case with the appropriate Document Coversheet and Document Separator Sheets. If the medicals are already filed in the ADJ case, inform the DEU staff of this when you submit the Request for Consultative Rating.

- **NOTE:** The field “requested by” and the name field for “A copy of this request has been served on” found on the Form 2 tab of the e-form, will **only** accept a representatives’ office’s UAN. Do **not** enter a claims administrators’ office UAN in this fields. If necessary, enter the representatives’ UAN twice. For unrepresented claims administrators’ offices, enter the injured worker’s representatives’ UAN twice. Attach a Proof of Service showing service on the claims administrators’ office and/or any other representatives’ office(s) in the case.

On Form 2 tab of the e-form check the Radio Button for “Representing the:” select either “Employee” or “Employer.” Failure to do so will err your form into the UDQ.

When filing a DOR for a Rating MSC with ADJ, you may also file a Request for Consultative Rating with DEU.

### **Declaration of Readiness to Proceed (DOR)**

This filing package consists of:

E-form DOR

Medical Report, attach only 1 with the following exceptions:

- If there are 2 or more QME/AME reports pertaining to separate body conditions/parts, e.g. psyche and ortho; or
- When filing for Rating MSC – attach all reports to be rated

Proof of Service      ADJ – LEGAL DOCS – PROOF OF SERVICE

If filed by a lien claimant or lien claimant representatives' office, must include the appropriate applicable documents:

10770.6 verification            ADJ – LEGAL DOCS – 10770.6 VERIFICATION

The e-form only allows listing of one physician and report date. Reference appropriate additional medical report(s) in the text field on Form 2 tab of the e-form.

When submitting the DOR for non-medical issues, leave the medical report field blank. In the text field on Form 2 tab of the e-form, identify any documents being attached. For example, if the issue is earnings, attach the document addressing earnings, and identify it in the text field on Form 2 tab of the e-form.

E-file your remaining medical reports and other documentary items you are submitting as proposed trial exhibits.

### **FILING A DOR WITH COMPANION CASES:**

It does not matter which case number you list first on the Document Coversheet. It should be the same as the one case number you put on the DOR e-form. This becomes the "Driver" case. The driver case number is important to know if you need to submit an External Request for Action. (See External Request for Action section above.) The companion cases are "linked" to the Driver case for purposes of all being set before the same WCJ, date and time. Once the hearing has been held, the cases are "unlinked" again. If a subsequent DOR is filed, the case number you list first will then become the Driver case.

Do not check the more than 15 companion cases box. If you do, the DOR will err to the UDAQ even though you were able to select a date. You may attach an Addendum to the DOR, which identifies the additional case numbers that need to be scheduled for the hearing. Contact the District Office to get those cases set after receiving the Notice of Hearing data mailer.

### **DOR SHORTCUT**

You can check to see if you can get a hearing date before filing your DOR by entering the date and case number on the Document Cover Sheet. On Form 2 tab of the e-form, select the type of conference and click Search. If you get a date, go back to the first page of the e-form and complete the Document Coversheet and the DOR e-form, add your attachments, print, save and submit.

### **LIEN CONFERENCE**

Lien claimants and/or their representatives can only select a lien conference.



8 Cal. Code Reg. § 10210(v) defines a “lien conference” as “a proceeding for the purpose of assisting the parties in resolving disputed lien claims...or, if the dispute cannot be resolved, to frame the issues and stipulations for a lien trial”. The same language is in 8 Cal. Code Reg. §10301(u). Certain types of liens filed before 1/1/2013 may require payment of an activation fee.

The case must have at least one (1) lien claimant added as a case participant in order to file your DOR for a lien conference. It does not have to be your lien, just a lien on file. If you cannot select a lien conference date, you need to first e-file your lien, verify it is in the case and then e-file your DOR. To activate liens that require payment, use the workers’ compensation public information search tool to search for the lien. Record the lien number, then click on the payment button and follow the instructions in the screen to make the activation payment. The approved payment will activate the lien. Print a receipt of the lien activation payment for your records.

### **WITHDRAWAL OF DOR**

Submit your written request using:

ADJ – LEGAL DOCS – WITHDRAWAL OF DECLARATION OF READINESS TO PROCEED

Submit an External Request for Action to request the case be taken off calendar. In the comment section indicate that you have filed the written request to withdraw your DOR.

### **DOR ERROR MESSAGES**

- **“No suitable slot available”**

Email the EAMS Help Desk (EAMSHelpDesk@DIR.CA.GOV) with the case number, injured worker’s name, type of conference requested and the location of the District Office. The EAMS Help Desk will contact the District Office to see if there is an issue with their calendar date parameters and work to get it resolved. The EAMS Help Desk will keep you advised of their efforts.

- **“Cannot schedule a hearing for a case when there is already a scheduled hearing.”**

Conduct either a Public Information Case Search using the link found in Appendix B or a case search in EAMS. If there is a hearing date shown, you cannot file your DOR. If no hearing date is shown, email the EAMS Help Desk (EAMSHelpDesk@DIR.CA.GOV) with the case number, injured worker’s name, type of conference requested and the location of the District Office. The EAMS Help

Desk will contact the District Office to get a past hearing closed. The EAMS Help Desk will keep you advised of their efforts. After receiving the EAMS Help Desk's email advising you that the prior hearing has been closed, you may file your DOR.

- "The number of work units for a slot cannot be greater than the maximum value set for the slot"

This normally occurs when there are only one or two slots left for a WCJ. It could occur before you 'submit' the DOR, if the remaining available slots have already been taken by someone else. If this occurs when you click to submit your DOR, the error message above appears, even if you were able to select the date and time before clicking "submit." Follow the instructions above for 'no suitable slots available'

- "Case is archived"

Email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) to request that your case be un-archived before you file your DOR.

## **DOR For Satellite District Office**

This can only be filed by submitting an OCR DOR; the e-form will not allow you to select a satellite District Office location.

## **Expedited DOR**

You cannot select a hearing date for an expedited trial. All Expedited DORs must be screened by the Presiding WCJ or his/her designee.

## **General Public Request for Information**

Do not use this e-form; prepare your Public Records Act requests in hard copy. All Public Records Act (PRA) requests should be done following the instructions in the DWC website at <http://www.dir.ca.gov/DWC/PublicRecordsAct/PublicRecordsAct.html>. The link takes you to the page on our DIR website with information, guidelines and the form to use.

## **Notice and Request for Allowance of Lien**

Payment of a lien filing fee may be required for new liens filed on or after 1/1/2013 unless the lien is exempt under Labor Code § 4903(b) or not required to pay under other sub-sections of Labor Code § 4903. The Notice and Request for Allowance of Lien eForm contains new fields with check boxes for use if the lien is exempt or does not have to pay a filing fee.

- If your lien is exempt or not required to pay a filing fee, check yes in the appropriate box. Complete the eForm and file your lien following the instructions below.
- If your lien is subject to payment of the filing fee, leave the checkboxes blank. Complete the eForm following the instructions below, click the 'submit' button, and follow the instructions to make payment. This will file the paid lien. Print the receipt of your lien filing fee and keep for your records.
- If your lien filing fee or lien activation fee needs to be refunded, review the Lien Fee Refund Policy in the DWC website at: <http://www.dir.ca.gov/dwc/Liens/LienFeeRefundPolicy.htm> and follow the instructions to process a refund request.

You cannot file Amended Notice and Request for Allowance of Lien; they must be filed as original liens.

The filing package consists of:

Notice and Request for Allowance of Lien

- 10770.5 verification \*      ADJ – LEGAL DOCS – 10770.5 VERIFICATION
- Proof of Service              ADJ – LEGAL DOCS – PROOF OF SERVICE
- 4903.8(d)                      ADJ – LIENS AND BILLS – 4903.8(d) declaration  
OR
- 4903.8(a)(b) assignment    ADJ – LIENS AND BILLS – 4903.8(a)(b) assignment

NOTE: \*Failure to attach the verification or an incorrect verification may be a basis for sanctions.

If you need to include a 10550 statement, scan it with the 10770.5 verification.

DO **NOT** FILE MEDICAL REPORTS, DEMAND LETTERS, Explanation of Benefits (EOB'S), ETC. OF ANY KIND WITH YOUR LIEN. **ONLY** file your itemized statement of charges in support of your lien. These additional documents can be filed later as trial exhibits.

Applicable Instructions for S Signatures:

- If filed by a representatives' office, their S signature goes in the representative's signature field. The lien claimant's signature field remains blank.
- If filed by lien claimant, their S signature goes in the lien claimant's signature field. The representative's signature field remains blank.

**LIENS WITH COMPANION CASES**

Do not list companion cases on the Document Coversheet. Each lien must be filed separately.

### **LIEN CLAIMANT NAME FIELD**

All lien claimants are organizations, such as “Acme Surgical Tools LOS ANGELES,” enter the organization name in the Organization Name field. Do **not** put anything in the first and last name fields. Leave the first and last name fields blank.

Lien claimants will have an UAN assigned. Even if the lien claimant is an individual, the lien claimant is an “organization” for the purposes of filing. Your UAN is entered in the organization name field; leave the first and last name fields blank. See the example below:

Lien Claimant	
Organization*	ACME SURGICAL TOOLS
First Name*	
Last Name*	
Address/PO Box*	PO BOX 1234
City*	HERE TODAY
State*	CA
Zip Code* (Numbers Only)	94621
Phone (Numbers Only)	8885551212

### **LIEN CLAIMANTS – LIEN CLAIM REPRESENTATIVES**

File your Notice of non-appearance/Notice of availability by phone using ADJ – MISC – CORRESPONDENCE-OTHER only if the case IS NOT set for a lien conference or a lien trial.

Lien claim representatives – do not file a Notice of Representation if you are filing the lien. Your client and your office will be added to the case participants automatically.

### **LIEN CLAIMS AND EDEX**

EDEX and the Workers’ Compensation Information Search Tool cannot provide you with the injured workers’ address. If you have the injured worker’s address, please enter it on the lien. If not, type PROTECTED PER DWC POLICY in the address line. When entering the city and state information for the injured worker’s address, please use the following hierarchy:

- (1) Injured worker city and state

- (2) Applicant attorney city and state
- (3) Lien claimant city and state
- (4) Lien claimant representative's city and state
- (5) Defense attorney city and state

### **EDD LIENS**

Enter your UAN in the Organization field. Do not enter a person's first and last name.

Your Golden Rod Lien Form (DE2581) must have an S Signature.

### **ATTORNEY FEE LIEN**

You can enter alpha characters, such as "REASONABLE" in the monetary amount field. If this cannot be entered, use \$100,000.

### **[Return to Work Supplemental Job Displacement Benefit Unit \(RSU\)](#)**

Contrary to the information previously noted pertaining to the Integrated Case and opening a new Product Delivery Unit case, where there is an existing ADJ Case Number, even if no RSU Product Delivery case is open, when listing the EAMS case number on the Document Coversheet, **do use** the RSU prefix.

- For example, case INT123456 only has an ADJ product delivery case open. When filing a case opening RSU e-form, enter RSU123456 in the case number fields. You must also enter the type (specific or CT) and DOI on the Document Coversheet.

If there is no existing RSU Product Delivery case, the e-form will err to the UDQ. The UDQ operator will create the RSU Product Delivery case **only** if there are no errors in your filing. The UDQ operator will then reprocess the batch. If there is a RSU Product Delivery case, and there are no errors in your submission, the batch will process into EAMS.

If there is no existing RSU product delivery EAMS case number, enter the information listed below on the document cover sheet:

- Check "yes" for new case
- Do not check the "walkthrough" box
- Enter the date
- Specify the injury type
- Enter the date of injury
- Enter the body part codes
- Check the product delivery unit

## Settlement Documents

You **must** initially prepare them in OCR paper form as you are going to circulate for signature. Once the settlement documents are received fully executed, scan them into your system. Scan the entire settlement document and any addenda as one document.

Do not highlight any portions or fields on the OCR settlement document. For example, do not highlight where a party has to date and sign the settlement document. When the document, if highlighted, is scanned, the highlighted area appears as a dark smudge and the highlighted writing is not visible or legible. See sample in the Appendix D

Prepare the e-form settlement document and attach the scanned-in signed settlement document to the e-form.

Enter all the information from the fields on the signed settlement document in the corresponding fields on the e-form settlement document. The e-form populates our system and the signed settlement document is the official settlement agreement.

The e-filer shall use the attachment link to the e-form settlement document, to attach any other relevant and pertinent documents not already filed to support the adequacy of the settlement.

When attaching the signed settlement document, please use **only** ADJ – MISC – CORRESPONDENCE-OTHER.

The Proof of Service is filed as a separate attachment – ADJ – LEGAL DOCS – PROOF OF SERVICE. Scan the proof of service separately, not as part of the signed settlement documents.

The e-form settlement document does not need S signatures.

You may prepare and submit OCR form settlement documents at the time of a conference or trial. You do not have to e-file them.

### **FILING A SETTLEMENT DOCUMENT THAT IS ADDING A NEW CASE TO AN EXISTING CASE**

Document Cover Sheet: In the first case field, note this as a “new case” and enter all the pertinent information for the new case. Check the box “companion cases.” Enter the companion case numbers in the sections below for companion cases. This is the **ONLY** exception in which you will list companion cases when filing a case opening document.

If there are two (2) or more new cases, you must file them separately. You cannot file more than one case opening document per Document Coversheet.

Do not attach copies of prior Stipulations/Awards/Orders to your current settlement documents. They are already in the District Office file, either in electronic or paper form.

### **WHERE TO SIGN SETTLEMENT DOCUMENTS – UNREPRESENTED CLAIMS ADMINISTRATORS’ OFFICE**

Non-represented defendant (claims administrators’ office) signs the OCR settlement document in the first attorney/non-attorney signature line. This has not changed in EAMS.

- **Stipulations with Request for Award** –Claims examiner signs on page 8, in the first defense attorney’s section, and dates the signature. Do **NOT** fill in any additional information in that section. Do **NOT** check the box for non-attorney representative.
- **Compromise and Release** – Claims examiner signs on page 8 on the first line for defense attorney.

Do not enter an S Signatures on the Settlement Document e-form. The e-form’s purpose is to enter the case information into EAMS and creates a task to the WCJ/secretary. Do **NOT** complete the fields on the defense attorney section and do not select any radio buttons.

### **E-FILED WALK-THROUGH SETTLEMENTS**

When filing a settlement, if you check the “walk through” box on the Document Coversheet and there are no errors, it will send a task to the District Office’s walk through queue. When you appear before the assigned walk through WCJ the day after you have verified the documents are in the case in EAMS, advise the WCJ of the case number. Also, remind the WCJ to check the walk through queue for the task.

When attaching the scanned, signed settlement document, use **only** ADJ – MISC – CORRESPONDENCE-OTHER. Do **NOT** use COMPROMISE AND RELEASE: WALK THROUGH SETTLEMENT or STIPULATIONS WITH REQUEST FOR AWARD - WALK-THROUGH. The work flow is created from the checked box on the Document Coversheet. A different competing work flow may cause issues with getting into the walk-through queue by using the correct Document Titles instead of the walk through “check box” on the coversheet.

After e-filing your documents, first verify that they are in the case in FileNet BEFORE going to the District Office. Do not assume that they will be there automatically the next

day. They may have erred into the UDQ. You will not be able walk through your documents if they are not in FileNet – wait for the UDQ operator email.

**Note:** 8 Cal. Code Reg. § 10280(d) (1) requires a Proof of Service for all walk through documents.

You should appear at the District Office the next business day at the latest, after confirming your documents are in FileNet. If you do not intend on appearing the next business day, do not file your document as a walk-through. Failure to timely appear to complete your walk-through may be the basis for sanctions or other action.

### **CASE OPENING WALK-THROUGH SETTLEMENTS**

First verify your settlement documents are in EAMS. Our system does not add representatives' offices UANs to the case participant screen on these types of submissions. As such, an e-filing representatives' office that is not an existing case participant would not have access to view this case in EAMS.

If you are such a representatives' office filing a case opening settlement document, after filing, you may email [EAMSHelpDesk@dir.ca.gov](mailto:EAMSHelpDesk@dir.ca.gov) and ask to verify if your documents are in FileNet. See the Help Desk section below.

If the documents are not in FileNet, wait for an email from the UDQ operator.

If the Help Desk informs you that your documents are in the case, please appear at the District Office the next business day. Advise the walk-through WCJ that the case is in the walk-through queue. Request the WCJ direct DWC staff to add your firm to the case participants list. Provide the WCJ with your UAN and ERN.

When you appear before the assigned walk through WCJ the day after you have verified the documents are in the case in EAMS, advise the WCJ of the case number. Also, remind the WCJ to check the walk through queue for the task.

### **APPEARANCE ONLY SETTLEMENT DOCUMENTS**

Defense firms filing settlement documents either as an “appearance only” assignment or if your office is house counsel for the claims administrators' office:

The e-form settlement document **must** have your office's UAN listed as the defense attorney, regardless of your client's wishes. The OCR signed settlement documents does not list you as the defense attorney, you did not participate in the settlement process. There are no anonymous filings allowed.



Your firm will need to be added to the case participant list manually by DWC staff.

If you are not doing a walk-through, you need to also file your Notice of Representation.

If appearing on a walk-through settlement submission, request the WCJ have your Uniform Assigned Name entered.

### **AMENDED SETTLEMENT DOCUMENT**

If a WCJ has issued an Order Suspending Action on your settlement, you will need to make corrections and obtain the additional signatures before you are ready to re-submit the Amended Settlement document.

Scan and file an amended settlement document using the unstructured e-form. Do not re-file the e-form version of the settlement document. Label your file "Amended (C&R) (Stips)" and file it using ADJ – MISC – CORRESPONDENCE-OTHER. In the same batch, submit a letter directed to the WCJ stating that you have e-filed the amended settlement document, using either:

ADJ – LEGAL DOCS – C&R: RESPONSE TO LETTER REQUESTING INFORMATION  
ADJ – LEGAL DOCS – STIPS: RESPONSE TO LETTER REQUESTING INFORMATION

The above procedure is used when submitting amended settlement documents in situations where no OSA has been issued.

Include an amended Order or Award with the amended settlement documents only if an amended Order or Award is necessary. When filing the amended Order or Award also file a letter indicating why an amended Order or Award should issue using ADJ – MISC – Typed or Written Letter.

### **Subsequent Injury Benefit Trust Fund (SIBTF) Application**

This application is only filed in an ADJ case, not in a SIBTF case. Note, there must be an existing ADJ case number for an SIBTF application. Use ADJ for the Product type. There are situations in which multiple cases, when combined, reach the SIBTF threshold requirements. List the most recent case that would trigger SIBTF involvement as the first/main case number and then the others as companion cases.

Do not enter SIBTF as an insurance company or as a claims administrator.

## [Unstructured E-forms](#)

Double check that each EAMS case number is entered correctly, this is the biggest error causing the unstructured e-form to err into the UDQ. Do not enter spaces between the Product Prefix and the digits or at the beginning or end of the case number. One wrong case number will cause the enter batch to err to the UDQ. (See also the [Attachments](#) and [Author](#) sections above for more detail.)

When submitting numerous documents, such as proposed trial exhibits, it is recommended to do so in multiple separate batches, of no more than five (5) documents per batch. This will reduce the batch file size and decrease transmission time. If an error is made, it will take less time to redo when smaller numbers of documents are attached.

If you have filed an unstructured e-form and don't see your document(s) in FileNet the next day, it is probably in the UDQ. Email the EAMS Help Desk, they will tell you whether or not the batch is in the UDQ. Do **not** re-file your documents. If it is in the UDQ, wait until you receive the email from the UDQ operator informing you about the errors. The problem may be able to be fixed by the UDQ operator and the batch reprocessed or there may be others errors that cannot be fixed by the UDQ operator.

## **VI. EAMS HELP DESK AND THE UDQ OPERATOR**

Only the e-form primary or alternate administrators are to call or email the EAMS Help Desk, the UDQ operator or CRU. Email is the preferred method of contact. Any emails or calls from someone other than the administrators will not be acted upon and any such email will be deleted without a response.

On any email to the EAMS Help Desk, CRU, the e-form Administrator and/or the UDQ operator, include your:

- Uniform Assigned Name (UAN)
- EAMS Reference Number (ERN)
- Batch ID number
- EAMS case number or state Case Opening
- Injured worker's name
- Injured worker's date of birth if case opening

### **Help Desk**

This is where you turn for assistance when you cannot see your case in EAMS. E-mail the EAMS Help Desk for help getting your case associated to your login to see that case in EAMS and get the information needed before filing your document.

Your administrators may contact the EAMS Help Desk when there are questions about a form or procedure: The preferred method of contact is by email: [EAMSHelpDesk@dir.ca.gov](mailto:EAMSHelpDesk@dir.ca.gov) – (See [Email](#) Section above for details.) Your administrators may also call 1-888-771-3267, select option #4. The EAMS Help Desk hours are 7:00 a.m. – 6:00 p.m.

If you have an error message issue, send a screenshot of the error message to the EAMS Help Desk. When the error message is showing, press ALT + PrtScn to copy the message. Paste the copied error message into a Word document and attach to your email.

If the EAMS Help Desk is unable to assist you, you may contact [EFORMS@dir.ca.gov](mailto:EFORMS@dir.ca.gov), identifying the issue in the subject line. Do not contact the District Office for assistance.

Do not email the Help Desk outside of their hours of operation.

## UDQ Operator

This is a separate unit from the EAMS Help Desk. The efile UDQ operators are DWC staff stationed throughout the state.

There is an e-form UDQ supervisor. You may contact the UDQ supervisor by emailing: [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV). Enter 'UDQ Supervisor' in the subject line of the e-mail. UDQ operators process erred batches in the UDQ as quickly as possible. The UDQ error report is received late in the afternoon each day. Batches added to the report from Monday may not be addressed by the UDQ operators until late Tuesday or Wednesday, depending on the volume of erred batches in the daily report.

### **After Submitting Your Batch, You Realized:**

- **THERE WAS A MISTAKE IN YOUR E-FORM OR THE WRONG CASE NUMBER WAS ENTERED:**

Do not email the UDQ operator to "delete a batch." The only batches that appear in the UDQ are those that have an error. If you entered a non-existent case number, it errs to the UDQ. The UDQ operator will send an email if that occurs.

1. If the number entered was incorrect for your case, but is an existing case, the documents will process through to the case and it will not show up in the UDQ., Email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with UDQ Supervisor in the subject line include the errant case number, the injured worker's name, the EAMS Doc ID number of the document filed, and the document type and document title filed in your email. The UDQ operator will move the document to the correct case or delete it.
2. If the mistake would not cause the batch would err to the UDQ, the documents will process through to the case and it will not show up in the UDQ., Email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with UDQ Supervisor in the subject line include the errant case number, the injured worker's name, the EAMS Doc ID number of the document filed, and the document type and document title filed in your email. The UDQ operator will move the document to the correct case or delete it.

If a mistake was made in filing, do **not** re-file another document. Email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with UDQ Supervisor in the subject line as set forth above.

- **FORGOT AN ATTACHMENT**

If you filed an e-form and realized you forgot an attachment after receiving the Batch ID number, e.g. itemized statement of charges or a Proof of Service, etc., do not re-file the e-form. Do not email the UDQ operator to delete the batch. Before filing the errant

attachment as an unstructured e-form, verify that the original document successfully processed into the case. If e-form was filed without an attachment, wait until you receive the Notice of application with the case number before filing the errant attachment.

If you file an Application for Adjudication of Claim and receive an email from the UDQ operator stating a case already exists for the injured worker with the same DOB and/or DOI in the Application for Adjudication of Claim, do a public information case search, or contact EDEX, if you are a member, to obtain the case number.

If you receive an email from an UDQ operator and do not understand the message, send a reply back by email asking them to clarify the message. Do not email the EAMS Help Desk for clarification of the UDQ operator's email. Do not copy the EAMS Help Desk with your response email to the UDQ operator.

If you receive an email from the UDQ operator advising that your batch has been "Reprocessed", they were able to fix the error and the batch was re-submitted from of the UDQ for processing. Do not re-file.

## **VII. TIPS AND TRICKS**

### **Batch ID Management**

Always save a copy of the Batch ID, in text format, in the specific case's folder in your system and print a hard copy. This is verification of submission, should there be a delay in the document being filed into the case in EAMS.

The UDQ operator will advise you of problems with your filing by referencing the Batch ID number. To easily track Batch ID numbers in your case, we recommend that you use an Excel spreadsheet following the example below:

Batch ID #	Injured Worker Name	SSN	EAMS Case #	Type of Document
------------	---------------------	-----	-------------	------------------

You can track each Batch, verify the document(s) are in the case and have a reference sheet by EAMS case number and SSN for sorting and searching. This will help you manage the documents filed in each batch. To keep it manageable, you can delete entries after verifying that the document(s) is in the case. It is your responsibility to keep track of the documents you are filing. The UDQ operator will not list all of the documents in a batch if the batch was deleted from the UDQ.

When filing your Batch ID page to establish the original filing date, add the injured worker's name and the Case Number on it. We will not be able to determine which case it belongs to, if it errs to the UDQ, unless you provide that information in your document. Use ADJ – MISC – CORRESPONDENCE-OTHER.

### **Form Preparation Efficiency**

Resolve any issue or questions you have on form preparation before beginning to fill out an eform. Discuss your issues or questions with your efile administrators. If not resolved, the efile administrator can email the EAMS Help Desk. Do not wait for their response; move on to another form/case/document/task. After getting the response from the EAMS Help Desk, go back and complete the eform and submit your batch.

### **General**

Download (copy) the e-form Reference Guide from the website to your desktop. It will always be readily available. The Guide is key word and key phrase searchable, type a key word(s) in the Find field and search.

Create a check list preparation sheet for each type of form or submission, have staff use these checklists when compiling the information and/or documents they need in electronic form before they efile.

Internet Explorer allows you to open several tabs; each tab is a separate webpage. Multiple tabs could be opened to help easily verify case information, such as:

1. Claims administrators' UAN search page
2. Representatives' UAN search page
3. Public Information Case Search tool
4. EAMS website

## Organize your Trial Exhibits

Create an electronic folder for each client for potential proposed trial exhibits. When a new document is received, such as a medical report, wage statement, or benefit notice, it is reviewed by the appropriate staff in your office. Instruct staff to scan the document and give the newly received document an easily identifiable name, e.g. Ronald Smith AME 1-5-11. The scanned document should be kept only in a folder for that IW.

## Remove Auto Update On Date In Microsoft Word Documents

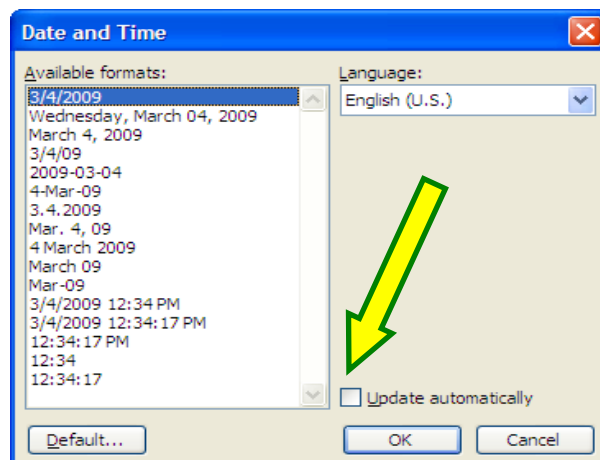
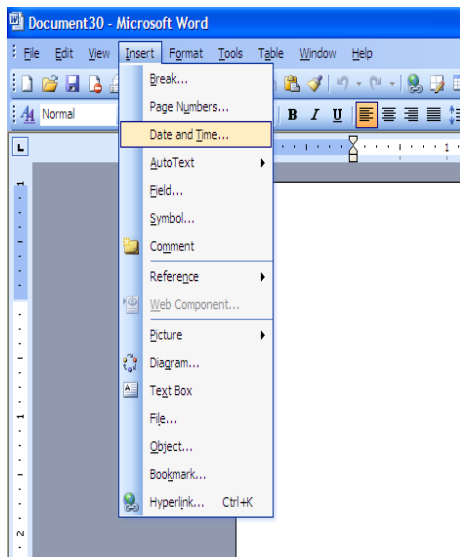
Open Microsoft Word.

Click on "Insert" in the tool bar

Click on "Date and Time"

Verify that the Update automatically check box is unchecked. If checked, click to uncheck

Click "OK"



When creating a header or footer in a Microsoft Word document, do not use any of the following format selections as the date in these selections will auto update to the date the document is opened:

“Author, Page #, Date”

“Confidential, Page #, Date”

Do not click on the icon for “Insert Date”

## **[Uniform Assigned Name \(UAN\) Online Database](#)**

This search function allows partial search functionality. You do not need to enter the full name or enter information in all fields. You can search by zip code or the digits of the entity’s address without listing any additional information.

A list of UANs can be downloaded in Excel format following these steps:

- click on Download tab-separated files for the list (claims administrators’ offices or representatives’ offices)
- Save the downloaded file to your desktop
- Right click the icon of your downloaded file on your desktop
- Select “open with”, then left click on Excel
- After the file opens, click on Format in the tool bar
- Select auto format and click “OK” (do not select any of the templates)
- Click on File and ‘Save as’
- Select file type ‘Excel’, then click Save

The UAN databases are updated daily. If you save the downloaded file to your computer, it may be outdated by the next business day.

## **[User Name and Password](#)**

Type your EAMS efiler User Name and password when logging into EAMS. If you use the copy and paste method to enter your User Name and password into the fields on the login screen, an extra space may be added at the end or the beginning of the copied text. An extra space is seen as a “character” and will err out your login attempt. If using the copy and paste method, check for extra spaces and delete them. The system will lock you out after 3 unsuccessful login attempts. Remember user names and passwords are case sensitive.

## **[View All of the Documents In FileNet](#)**

The default setting for viewing documents in FileNet is set at ‘300’. If you see the message “Items found: 300” when the FileNet document search screen opens, all the documents in the case may not be shown in the initial search results.



On the left side of your FileNet document search screen, under the Search Criteria, is the “Max Results” field. Change to the value in the Max Results field to a higher number, such as 500. Click on the “Search” button on the right side of the FileNet document search screen. The Max Results value will update to include additional documents, if any, above the original default value.

- To search or review documents easier in FileNet increase the value in the “Show Items” field, on the right side of the screen, to “50.” You will see 50 documents per page. Click on the column heading “Doc Entry Date” twice, results refresh after each click. This will sort documents for viewing in chronological date order on page 1, continuing with earlier documents in reverse chronological order on any subsequent pages.
- Click on “Hide Search Criteria” at the top of the FileNet document search screen last, this will show more documents on the FileNet page(s).

### [View Your Document In FileNet](#)

FileNet’s default document viewing software is Daeja Pro Viewer. To view documents in FileNet using the default software click on the icon or the ‘Title’.

Microsoft Document Imaging software can also be used to view TIFF formatted documents in FileNet following the instructions below:

- Go to Start
- Select Programs
- Select Microsoft Office
- Select Microsoft Office Tools
- Select Microsoft Document Imaging
- When that program opens, Select Tools from the Menu bar at the top
- Select Options
- Select Other
- Select Reset
- Click OK
- Close the Microsoft Document Imaging

This opens TIFF documents in MS Document Imaging. The document page is shown on the right and thumbnail images of all the pages of the TIFF document is shown on the left. Click on the thumbnail to view a specific page or scroll through the document pages on the right.

To use this tool for viewing TIFF documents in FileNet, RIGHT click on the document name in the Title column, and click on DOWNLOAD. You will receive a dialog box with a message asking if you want to Open or Save this file, select OPEN.

**NOTE:** If your computer stops using this tool as a default viewer for TIFF files, repeat the steps above. If you receive the dialogue box but the options have changed to include “Find” instead of “Open”, you will need to repeat the steps above to refresh your TIFF viewing preferences.

To do a word search on a TIFF document in the MS Document Imaging tool, click on the binoculars in the tool bar. You will be asked if you want the software to perform OCR, click YES. You can use the word search (Find) feature for specific keywords in the document.

To print the TIFF document, click the printer icon in the menu bar.

To view Microsoft Word and PDF formatted documents in FileNet, right click the document name in the ‘Title’ column, and select Open. These will open in Microsoft Word and Adobe Acrobat respectively.

## **VIII. TROUBLE SHOOTING**

- **REPORTING A PROBLEM**

For problems with your login/EAMS/FileNet, please email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV). Be sure to include complete details about the issue. Attach screenshots of the problem and/or error message.

- **CANNOT LOG IN**

Take a screen shot of any error message received when logging in, paste the screenshot into a Microsoft Word document and attach the screenshot to an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV).

Please click on the EAMS external login link below. If it does not open automatically in your Internet Explorer browser, copy and paste the link into your browser address field at the top of the Internet Explorer screen. Click on the double arrow to the right end of the address field in the Internet Explorer Window or press enter on your keyboard. You will see a message on the open window, such as:

Ecuram1-12

This will tell us which of the Curam external servers you are connected to so our OIS people can track it down. Be sure to put that message information into the body of your reply email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV).

**Link for EAMS external login:** <https://eams.dwc.ca.gov/external/logon.jsp>

- **CANNOT ACCESS FILENET – EITHER TO VIEW DOCUMENTS OR TO OPEN/PREPARE E-FORMS**

Take a screen shot of any error message received when unsuccessfully accessing FileNet, paste the screenshot into a Microsoft Word document and attach the screenshot to an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV).

Click on the FileNet server address link below. If it does not open automatically in your Internet Explorer browser, copy and paste the link into your browser address field at the top of the Internet Explorer screen. Click on the double arrow to the right end of the address field in the Internet Explorer Window or press enter on your keyboard. You will see a message on the open window, such as:

HELLO EFNAPP1-9 WAS7

This will tell us which of the FileNet external servers you are connected to so our OIS people can track it down. Be sure to put that message information into the body of your reply email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV).

**Link for FileNet server address:** <https://eamsdm.dwc.ca.gov/>

### **PROBLEM RESOLVED**

If you report a problem and it has been resolved before you are contacted by DWC staff, email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) that it is resolved. We will continue to investigate your reported problem to determine if there is an issue we need to resolve. Your communication allows DWC to concentrate resources on investigating other unresolved issues.

## **IX. APPENDIX**

### **APPENDIX A**

#### **Electronic Adjudication Management System—E-Forms Agreement**

Complete the E-form agreement spreadsheet

## **APPENDIX B**

### **Website Links and Email Addresses**

#### **1. LINKS**

Main EAMS page

[www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams)

E-form main page

[http://www.dir.ca.gov/dwc/eams/EAMS\\_EformsFilers.html](http://www.dir.ca.gov/dwc/eams/EAMS_EformsFilers.html)

UAN Online Database

[http://www.dir.ca.gov/dwc/EAMS/EAMS-LC/EAMS\\_ClaimsAdmins\\_Reps.htm](http://www.dir.ca.gov/dwc/EAMS/EAMS-LC/EAMS_ClaimsAdmins_Reps.htm)

EAMS Case Number Look up Tool

<http://www.dir.ca.gov/dwc/eams/eams-lc/EAMSCases.asp>

EAMS Lien Filing and Activation Fees

<http://www.dir.ca.gov/dwc/Liens.htm>

Self-insured Employer List

<http://www.dir.ca.gov/sip/pubandforms.htm>

EAMS Handbook/Instructional Manual for OCR Form Filers

[http://www.dir.ca.gov/dwc/eams/SampleFiles/EAMS\\_OCR%20handbook.pdf](http://www.dir.ca.gov/dwc/eams/SampleFiles/EAMS_OCR%20handbook.pdf)

EAMS OCR forms

<http://www.dir.ca.gov/dwc/forms.html>

Workers' compensation public information case search

[http://www.dir.ca.gov/dwc/EAMS/EAMS\\_PublicInformationSearch.htm](http://www.dir.ca.gov/dwc/EAMS/EAMS_PublicInformationSearch.htm).

#### **2. EMAIL ADDRESSES**

CRU

[CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV)

CRU Fax: 1-888-822-9309

E-forms

[EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV)

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CONTROL UNIT (RECON ONLY)  
[CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV)

EAMS HELP DESK  
[EAMSHelpDesk@DIR.CA.GOV](mailto:EAMSHelpDesk@DIR.CA.GOV)

## APPENDIX C

### Address Abbreviations

For those with a Uniform Assigned Name, please use the exact address in the format shown on the online database.

When entering other addresses, please use the following abbreviations:

Apartment	<b>APT</b>
Avenue	<b>AVE</b>
Boulevard	<b>BLVD</b>
Building	<b>BLDG</b>
Center	<b>CTR</b>
Circle	<b>CIR</b>
Court	<b>CT</b>
Drive	<b>DR</b>
East	<b>E</b>
Floor	<b>FL</b>
Highway	<b>HWY</b>
Lane	<b>LN</b>
North	<b>N</b>
Parkway	<b>PKWY</b>
Place	<b>PL</b>
Plaza	<b>PLZ</b>
Post Office Box	<b>PO BOX</b>
Private Mail Box	<b>PMB</b>
Road	<b>RD</b>
Room	<b>RM</b>
South	<b>S</b>
Space	<b>SPC</b>
Street	<b>ST</b>
Suite	<b>STE</b>
Terrace	<b>TER</b>
Unit	<b>UNIT</b>
West	<b>W</b>

We follow the USPS standard for address abbreviations. If you have further questions, visit this site: [http://www.usps.com/ncsc/lookups/usps\\_abbreviations.htm](http://www.usps.com/ncsc/lookups/usps_abbreviations.htm)



Do not use any punctuation or special characters in a person's name, an employer's name or in any address or phone number; i.e. do not use #, ( ), commas or periods.

## APPENDIX D

### Sample of Defective Highlighted OCR Form

**11. WARNING TO EMPLOYEE: SETTLEMENT OF YOUR WORKERS' COMPENSATION CLAIM BY COMPROMISE AND RELEASE MAY AFFECT OTHER BENEFITS YOU ARE RECEIVING TO WHICH YOU BECOME ENTITLED TO RECEIVE IN THE FUTURE FROM SOURCES OTHER THAN WORKERS' COMPENSATION, INCLUDING BUT NOT LIMITED TO SOCIAL SECURITY, MEDICARE AND LONG-TERM DISABILITY BENEFITS.**

**THE APPLICANT'S (EMPLOYEE'S) SIGNATURE MUST BE ATTESTED TO BY TWO DISINTERESTED PERSONS OR ACKNOWLEDGED BEFORE A NOTARY PUBLIC**

By signing this agreement, applicant (employee) acknowledges that he/she has read and understands this agreement and has had any questions he/she may have had about this agreement answered to his/her satisfaction.

Witness the signature hereof this [redacted] day of [redacted] at [redacted]

Witness 1 [redacted] (Date) [redacted]

Witness 2 [redacted] (Date) [redacted]

Interpreter [redacted] (Date) [redacted]

Applicant (Employee) [redacted] 12-15-10 (Date)

Attorney for Applicant [redacted] (Date)

Attorney for Defendant [redacted] (Date)

Attorney for Defendant [redacted] (Date)

Attorney for Defendant [redacted] (Date)

Attorney for Defendant [redacted] (Date)

## APPENDIX E

### External User Request for Action

APPLICATION HOME  
EAMS Production Internal Server 1: Build Number 0043  
FAMS Electronic Adjudication Management System

APPLICATION HOME  
INT - INT1005362  
GRACIELA AVINA  
ADJ

Submit Cancel

**Requestor Details**

* Request Type:	Continuance	Opposing Party Position:	Agree
* Requestor Last Name:		Case #:	ADJ1005362
Requestor Type:	Applicant	* Requestor First Name:	
Phone Area Code:		Phone:	
Fax Area Code:		Fax:	
Email Address:		Scheduled Hearing Date:	11/28/2012

I represent that I have made a good faith effort to notify all interested parties of this request:

**Explanation**

**Request**

**Reason (Please specify in detail)**

A copy of this request for action shall be served by the requestor on all interested parties.

Submit Cancel

Powered by Cúram

**Request Type** – choices are:

Continuance  
OTOC  
Rehab Conference Change

**Opposing Party Position** – choices are:

Agree  
Opposed  
Unable to contact

**Requestor Type** – choices are:

Applicant  
Defendant  
Joint  
Lien Claimant

When this Request is submitted, it creates a task to the Case Owner. It should be accompanied by an efiled document explaining the request.

## APPENDIX F

### External Users Page Views

<b>PAGE</b>	<b>NAVIGATION MENU</b>	<b>SUB-PAGES</b>	<b>SUB-SUB PAGES</b>
<b>MAIN</b>	External User Search		
	eForms		
<b>INT</b>			
	Case Participants		
	Events		
FileNet	Related Cases		
<b>ADJ</b>			
	Hearing Case Home Page		
		Hearing Home Page	
			Dispositions
			Special Resources
			Scheduling History
			User Attendees
		Communications	
		Events	
		Liens	
			View Lien
		Orders	
		PD/TD/Other Benefits	
		Part of Body	
		Related Cases	
	External User Request for Action		

## APPENDIX G

### Glossary

<b>Term</b>	<b>Definition</b>
ADJ Product Delivery Case	An ADJ case within the Integrated Case.
Applicant (ADJ)	The party filing the Application for Adjudication of Claim.
Archive	Case information that is no longer actively being worked is stored in a separate space from where active case information is stored.
Attachments	Document that is created outside of EAMS but electronically filed by attaching to an eForm.
Batch	A group of documents bundled together for processing or scanning.
Case events	Milestones relevant to a particular case, such as hearings and decisions; generally associated with receipt of a document.
Case identification number	Identifier assigned to each case.
Case Owner	A DWC employee who is in charge of a Product Delivery Case.
Case participants	Organizations and individuals, external to DWC, who are involved in a particular case.
Companion cases	Multiple cases indicated on a DOR or otherwise set together for a hearing. See also Driver case, below.
Consolidated cases	Related cases that are ordered consolidated for trial in a single proceeding. See also Master case, below.
Coversheet Document	The first sheet in a batch. It contains the case information.
Defendant	Employer or the employer's representative.
DEU Product Delivery Case	Each injured worker case is referred to in the unit as a DEU Product Delivery Case.

Document type	Document type is determined by case type. Examples of document types are letters, orders, and medical reports.
Driver case	A single case that has been selected to receive the action on behalf of its companion cases.
eFiler	Participants in a case who have limited access to EAMS.
eForm	Term used for a form submitted via the Internet.
Employer	Any organization that is a case participant.
Events (See Case Events)	Milestones relevant to a case, such as the receipt of documents, hearings, and decisions.
FileNet	A database containing electronic copies of original case documents. It is integrated with EAMS.
General public	Users who are neither DWC employees nor participants in a case.
Hearing	Any proceeding that is presided over by a WCJ.
Hearing Case Home	The page that lists all hearings associated with a Product Delivery Case. From this page, you can go to individual Hearing Home pages.
Hearing official	The WCJ hearing the case.
Hearing representative	Any non-DWC person invited to a scheduled hearing.
Holding tank	Temporary storage of groups of documents bundled together to enter into EAMS at a scheduled time.
Integrated Case	Umbrella case that stores all case information about one injured worker on a date of injury (or a date range for continuous trauma injuries).
Internal user	A DWC employee with access to EAMS.
Legacy case ID	Identification numbers assigned to cases migrated to EAMS with system implementation.

Mandatory fields	Data that must be entered in EForms in order to proceed with the processing of any case.
Master case	Case selected as a control case for related cases.
OCR	Optical character recognition is the term used for a software component that translates images of handwritten or typewritten text (characters) into editable text.
Official Record of Service	List of all correspondence sent for a particular case displayed in the Communications page.
Outcome	End result of the case: C&R (Compromise and Release) Stip with Request for Award (Stipulations with Request for Award) Findings & Award Findings & Order Dismissal
Owner	DWC employee assigned responsibility for a Product Delivery Case.
Paper form	Term used for forms mailed to DWC as hard copies that must be scanned before being saved into EAMS.
Participant access (security)	Case participants (external users) have access to EAMS Product Delivery information limited to their personal contact information.
Person	Any individual case participant.
Post-hearing activity	EAMS activities that generally take place after a hearing is finished.
Preferred Method of Service	Means of sending the MS Word Communication—US Mail, e-mail or fax.
Product Delivery Case	A unit case type in EAMS. An Integrated Case may contain only one Product Delivery Case from each DWC unit.
Product Delivery Case home page tasks	The home page for each Product Delivery Case provides links that allow you to manage that case by completing assigned tasks related to the case.
Reactivate	The reopening of a case due to processing of a case opening document.

Recognition step	The process of interpreting barcodes to control the formation of documents.
Recusal	When a DIR/DWC employee withdraws from a particular case due to a conflict of interest.
Redact	Masked sensitive information on a committed document.
Registered name	Legal name of the organization.
Registration	Process of adding information about a participant into the system.
Related cases	Multiple cases that have been associated in EAMS either as consolidated or companion cases.
Released	Current version of a document in EAMS able to be checked-out.
Reschedule a hearing	A hearing that has not occurred is set to a different date and time.
Roles	Sub-classification of persons and employers; role identifies the type of participant such as lawyer, law firm, or injured worker.
Scanner operator	The person who operates the scanner.
Sealed	When a document's content is not viewable.
Security access	Only those users who need to view, create, or modify any particular case information can access that information; preserves confidentiality.
Sensitivity level	Determines which actions a user may take such as viewing and modifying information stored for a case.
Status	Open, Closed, Active, Inactive, At Recon—a case designation communicating where in the process a case may be and whether or not ADJ employees can change the case.
Structured form	A DWC form designed to facilitate extraction of characters in the scanning process.
Superseded	Previous version of a document in EAMS which is read only.
Task	A piece of work a user is expected to complete.



Templates	Formatted correspondences that can be adjusted to fit specific purposes.
Trading name	Name of the organization; DBA name.
Transcript	Written transcription of the reporter's shorthand notes.
Transcript Request	A request for copies of the official court transcript.
UEBTF Product Delivery information	Information related to a UEBTF Product Delivery Case and stored in EAMS with its associated Integrated Case.
Un-archive	The process of reactivating an archived case.
Un-archiving	Procedure to retrieve archived case information to make it available as needed.
Unstructured form	EForm used for a non-standard document that needs to be filed but is not a direct attachment to a structured e-form, such as petitions, proposed trial exhibits, trial briefs, notice of representation, or substitution of attorneys. (e.g., letter).
User Home page	EAMS page that provides user information such as contact information and calendar.
Users	Employees internal to DWC and external parties who use EAMS for any reason.
Users and user roles	Users are people who use EAMS to do their work, and user roles are groupings of users categorized by the work they do.
Version	Tracked document versions in EAMS.
Work queues	Lists of tasks that must be completed by a particular work group.
Workflow	A representation of tasks to be done, their sequence and who (role) is expected to complete each one.