

The logo for EAMS features the letters 'EAMS' in a large, bold font. The 'E' is orange, while the 'A', 'M', and 'S' are white. The letters are set against a background of blue and orange squares of varying sizes, creating a grid-like pattern.

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.

Presently, there are no regulations governing electronic filing. Thus, to be an electronic filer requires that you enter into a contract with the DWC and participate in our e-form Trial. This contract, 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 contract is sent by email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with "e-form Trial" 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 trial will receive a login which allows them electronic access to EAMS. Presently, electronic access is limited to those with a PC running Internet Explorer (IE). Version IE-7 or newer is best.

Your e-form login and Uniform Assigned Name allows you not only to submit documents into the case, but to review all pertinent case information including the ability to review and if necessary print/save documents previously filed.

As an e-form filing office, you are one step closer to becoming a paperless organization, which results in increased efficiency and reduced costs.

## **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.

Top Ten e-form errors:

1. Not reviewing and using this Guide!
2. No UAN, misspelled name, creating your own, typos
3. Injured worker name does not match what is in EAMS, misspelled, punctuation used
4. Incorrect EAMS case number, typo, extra spaces
5. Incorrect Doc Type/Doc Title – especially on walk-through settlements
6. Incorrect format for address, punctuation, special characters
7. E-form fields do not mirror OCR settlement document fields
8. Companion cases entered for amended applications and Answers
9. Inadequate labeling of attachments
10. Selecting 15 companion cases box on Document Coversheet when filing DOR

Following the information in this Guide will allow you to avoid these errors.

### **EAMS Hours**

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

EAMS is available on most Saturdays, but sometimes it is not due to system updates being performed. We will try to notify you if EAMS is not available on a given Saturday, however, sometimes we do not get notice of the same in time to give you much notice, if at all.

Our system batch processes every 2 hours starting at 8:00 a.m. For example, if you e-file your document at 9:00 a.m., and assuming it was without errors, it should be in the case after the batch process at 10:00 a.m. Do note though that the batch processing is regulated so at times, your document may not appear until the second batch process.

## [EAMS Links and Email Addresses](#)

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

## [EAMS Basics](#)

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

Many of the rules pertaining to OCR form filing apply to e-filing. You should refer to this reference guide and the OCR Form Handbook, as well as the slides from your webinar.

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

One of the main aspects of EAMS is integrating the DWC's disparate unit files into one seamless case management system. In EAMS, this is done using what's called an "integrated case" and "product delivery cases." The integrated case is the umbrella, which contains overarching information and under which each of the product delivery cases reside. Quite simply, 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

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" within the INT case. For example, an Application for Adjudication of Claim opens only the ADJ case within the INT case. If you then file a Request for Consultative Rating, it is to be filed as a "new case" so it opens the DEU PDU. You cannot just change the prefix on the ADJ case number.

### **UNIFORM ASSIGNED NAMES**

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

A claims administrator's office 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 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.

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 IN THE E-FORM TRIAL – YOU HAVE A QUASI-UNIFORM ASSIGNED NAME. YOU MUST USE IT IN THE AUTHOR FIELD ON THE UNSTRUCTURED E-FORMS AND ATTACHMENTS TO THE E-FORMS THAT YOUR OFFICE PREPARES.**

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**

Remember no punctuation or special characters!

**FORMATS**

**Dates**: requires use of the MM/DD/YYYY format. Future dates will not work, unless the field specifically calls for a future date. Incomplete dates will not process. A continuous trauma date of injury (DOI) requires both a valid start date and an end date.

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

**Address**: requires use of the USPS standard abbreviations. A list of the most common are listed in Appendix A.

S-signature: required to be in format of S JOHN JONES (S space FIRST NAME space LAST NAME – no middle names or initials and no prefixes or suffixes.

Punctuation: There is to be no punctuation in any fields. For example, a person with a hyphenated last name, in EAMS; do not enter the hyphen.

Scanned documents: The preferred format is PDF-A1A. Otherwise we highly recommend PDF-A. Word, TIFF, PDF or Excel formats are still acceptable. We cannot accept JPEG, GIF or Word Perfect. Do not scan in color. It makes the file size too big.

### **DOCUMENT TITLES**

The Document Titles that appear in the unstructured e-form include both internal (for DWC use only) and external titles. You are to use **only** the external document titles. The list of these can be found on the e-forms webpage. Print it and keep it at all stations where filing will be done. It is in Excel format and can also be saved to the desktop of all computers 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 garnered either from a search of the case in EAMS, if it is an existing case, or by using the General Public Search Tool found on our EAMS main webpage. Direct link to the search tool - <https://eams.dwc.ca.gov/WebEnhancement/> (See also Searching in EAMS below)

We recommend you use the Public Information Case Search Tool as you can search not only by an EAMS case number but also by the injured worker's name and see all the cases in which they are listed. An EAMS search will only reveal those cases in which your office is a listed case participant. It also frees up your EAMS access for more filing.

This allows you to verify the EAMS case number to use, the spelling of the injured worker's name as it is in EAMS and the UANs of the claims administrators' and representatives' offices. You must use what is in EAMS. If you don't, your filing 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.

With each Batch that ends up in the UDQ, your staff spent the time doing it incorrectly at first, our UDQ operator spent her/his time trying to make sure all the errors are identified back to your office, then your staff has to redo everything at least a second time, further delaying your documents getting submitted.

#### **Login**

This is the link to access your EAMS login page:  
<https://eams.dwc.ca.gov/external/logon.jsp>

You must enter your Username and Password. Remember, they are both case sensitive, and are to be entered just as they were when you received them.

Remember, only one person at a time in your office can be logged in on each login.

- 15 minutes of inactivity on EAMS will time you out
- 30 minutes of inactivity on e-form will time you out & will have to start e-form all over
- If you are working on an e-form and EAMS times you out, you can still submit your e-form

## 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. Reminder: do not use the VOC forms as they are no longer valid.

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.** Otherwise, you will end up with a blank form being filed or an incorrect Doc Title listed on the form you completed. (See Successful Batch ID but no Number below)

When entering the EAMS case number, ensure there are no spaces between the ADJ and the digits or at the beginning or 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 can only 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. As additional e-forms are modified, you will be notified.

The first 5 pages are the Document Coversheet. If you are not listing multiple companion cases, leave those not used blank and click on Form 1, the first page of the form. Complete each page as necessary, and continue clicking the Form tabs until you have completed all pages of the e-form.

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) for yourself, all claims administrators' and representatives' offices in the case.

Text fields are limited and the limits are listed. If you enter more than allowed, it will be truncated. If you need to list more information, use an addendum 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 addendum setting forth all the information as if you were entering it 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 Document Type, Document Title, Document Date, Author and click browse to upload the file to attach. If you have more to attach, click "Attachment" on the page and repeat. When complete, click done. This closes this additional window and you should be back at the e-form page.

Remember, you are to use only the external Doc Titles

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**

Once you have completed the structured e-form and attached all attachments, click on "Print PDF." You can then print the structured e-form for service and you can also save a copy to your computer. The attachments 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 submitted. You will be returned a Batch ID page with an ID number and the date and time it was submitted. It is best to both print and save this Batch ID

page. Save it as a text file. This will be used should your time sensitive filing find its way to the UDAQ and you need confirmation of the initial date it was submitted.

If the e-form does not successfully submit, the system will return you to the mandatory field that is missing data. Correct it, re-print 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., on Saturdays and Holidays when the filing date will be the next business day.

Log out of EAMS. Even if you have another form to submit, take a break and give someone else in your office the opportunity to log in.

### **Unstructured E-form**

These are any forms not found on the e-form link on the External Home Page, such as Petitions, proposed trial exhibits, 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.

If you have companion cases in which the document is also to be filed, enter the case number(s) one at a time in the "Enter Companion Case Number" field and click "ADD." Ensure that there are no spaces between the ADJ and the digits or at the beginning or end of the case number. Repeat as necessary for each companion case.

Select the proper Case Type (generally ADJ), Document Type and Document Title. Enter the Document Date and Author. Click on Browse to locate and upload the document. Click on Attachment. The uploaded document file name is displayed. If done, click Submit. If there are more attachments, start at the top of the page, filling in all fields and click attachment. Repeat as necessary then 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 submit, you will receive the Batch ID. It is best to both

print and save this Batch ID page. Save it as a text file. This will be used should your time sensitive filing find its way to the UDQ and you need confirmation of the initial date it was submitted.

## [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 as well, through your preferred method of service.

A successful batch may also create Events. You can view these events from the ADJ Home Page of the case. Search for the case, open the ADJ 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 ADJ case, click on the "INT" tab in the upper left. Scroll down to the Case Documents section and click on the initials "ADJ." FileNet 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 Unprocessed Document Queue (UDQ). Our UDQ operators review this daily. If the error is minor, they may correct it and reprocess the batch. Otherwise, they will delete the batch, send your e-form trial administrators an email with the errors and you will need to make the corrections and re-submit it.

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 the administrators in the office may email the EAMS Help Desk. They will tell you if the batch is in the UDQ. If it is, then wait until you receive the email from the UDQ operator. 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 not listed on 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. Do note that the clerks and secretaries are instructed to update this section from the list of case participants before sending out notices, etc. Do not email the EAMS Help Desk, CRU, E-Forms or the UDAQ operators to do this.

### **Addresses**

We follow the USPS standard for address abbreviations. (See Address Abbreviations below)

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

Enter your address exactly as it is listed for your UAN or quasi-UAN.

Where the injured worker lives out of the country:

If represented, use the injured worker’s attorney’s address. If not represented, use the defense attorney’s or claims administrator’s office address. But you must put the correct out of country mailing address in the form in the section noted 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 as she/he lives out of the country and the address needs to be updated. You must include the injured worker’s name, correct out of country mailing address, DOB, DOI, and Batch ID. The UDAQ supervisor will correct the address.

## [Archived Case](#)

If your batch “submits” and the case has been archived, the UDQ operator will un-archive the case and assuming no other issues or errors, the batch will be re-processed. Do note that it takes up to 2 hours from the time the un-archive action is initiated before the case is retrieved.

When filing a DOR and you get the message that the case cannot be set because the case is archived, 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. Please send in 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 WCJs that handle these cases. They cannot have open calendar slots because the only cases they handle are asbestos.

## [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 B](#))

For an ADJ filing, if you just cannot find a Document Title to fit your document, use ADJ – MISC – CORRESPONDENCE-OTHER. Do not just use TYPED OR WRITTEN LETTER. It does not matter that your document is a “typed or written letter.” This Doc Title is ONLY to be used for something that needs to be brought to the immediate attention of the WCJ.

Scan the following types of items into a single multi-page document, unless a specific one(s) is in issue. Do not file them separately:

- 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 not out of order.

## **Batch ID and a Deleted Batch**

Please read 8 Cal Code Reg §§ 10222 regarding re-filing a deleted submission. You have 15 business days to correct the error. You have the Batch ID page. You also have the email from the UDQ operator that says the batch has been deleted and will have to be re-submitted due to the errors. The Batch ID is your proof of your timely submission.

Provided you re-file the corrected document within the time frame, your original Batch ID page is your proof that you timely filed. You should attach the original Batch ID to the re-filed form/document as an attachment, using ADJ – MISC – CORRESPONDENCE-OTHER. Be sure to label it “Batch ID.” That way, it is in the case as well. You do not need to attach the email from the UDQ, but do keep it and print a hard copy for your trial file, just in case there is an issue.

This is why it is so important to keep your Batch ID pages, both electronically and in hard copy.

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, you must be very careful not to open more than one at a time. E-forms are a FileNet application. The data that is submitted is based on the form ID and each e-form has its own unique form ID. If you open an e-form, and accidentally open a second one, the second form ID overrides the first form ID. So, even though you close out the second e-form and properly fill in the data on the first e-form, the system is looking for the second closed form’s ID as it overwrote the first one.

To avoid this from happening, if you accidentally open more than one e-form at a time, close them all out, click on the “Home” link or radio button and then click on e-forms again and be careful to open only one e-form.

This can occur as well if 2 or more people are inappropriately logged in under the same login at the same time.

## Body Part Codes

You must use only the body part codes set forth in the Body Part Code List found on the OCR Forms page website.

Do not try to add “Left” or “Right” – you specify this in a text field in the case opening document or in an addendum. If putting it in the e-form:

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

If you have more than 5 body parts to list, be sure to use the inclusive code numbers.

## Case Number

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

SFO01234567 does not equal ADJ01234567 – there are NO leading zeros in an EAMS Case Number; they are only in the Legacy Case Numbers.

Also, do not insert spaces between the three-letter prefix and the numbers.

**YES:**                      **NO:**

ADJ999777555      ADJ 999777555

Please use only the EAMS case number – use the EAMS case number look-up tool on the website if all you have is the legacy case number.

## Change of Address

Injured worker or non-UAN employer:

1. Submit an A mended Application with the injured worker’s new address and entering “CHANGE OF INJURED WORKERS ADDRESS” in paragraph 2, or
2. Submit a letter using ADJ – LEGAL DOCS – 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, only this time, the change is from one claims administrators' office to a completely different one, not just a location change.

You may send an email to [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV) requesting a transfer of a file(s) between claims administrators offices 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.

To process a Change in Claims Administrators' Office, we need the following:  
The EAMS Case Number  
Injured Worker's Name  
UAN with ERN for both the transferring office and the transferred to office.

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 ESIS TAMPA – 3729340 TO CORVEL OXNARD – 4787030"

For multiple changes, please prepare an attachment in Excel or a Word table.

Column 1 the EAMS case number  
Column 2 the injured worker's full name. We need their name to ensure there are no typos in the case number. If there is more than one case for an injured worker, list them one below the other, repeating their name as well. Do not list the case numbers side-by-side. See the example below:

<b>Case Number</b>	<b>IW Name</b>	<b>From</b>	<b>ERN</b>	<b>TO</b>	<b>ERN</b>
ADJ123456	JANE DOE	CORVEL CHINO	4662237	ESIS TAMPA	3729340
ADJ987654	JANE DOE	CORVEL CHINO	4662237	ESIS TAMPA	3729340
ADJ654321	FRED JONES	ESIS FREMONT	3844305	CORVEL OXNARD	4787030

We need the UAN with ERN for both the transferring office and the transferred to office.

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 Handling Location](#)

### **Please note:**

New offices and changes of name, location, mailing address, telephone, e-mail, fax, or preferred method of service must be registered with the CRU...and sent 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:

The EAMS Case Number

Injured Worker's Name

UAN with ERN for both the transferring office and the transferred to office.

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 or a Word table.

Column 1 the EAMS case number

Column 2 the injured worker's full name. We need their name to ensure there are no typos in the case number. If there is more than one case for an injured worker, list them one below the other, repeating their name as well. Do not list the case numbers side-by-side. See the example below:

Case Number	IW Name	From	ERN	TO	ERN
ADJ123456	JANE DOE	CORVEL CHINO	4662237	CORVEL OXNARD	4787030
ADJ987654	JANE DOE	CORVEL CHINO	4662237	CORVEL OXNARD	4787030
ADJ654321	FRED JONES	ESIS FREMONT	3844305	ESIS TAMPA	3729340
ADJ789123	SHARON SMITH	ESIS TAMPA	3729340	ESIS FREMONT	3844305
ADJ456123	JOHN SYMTHE	DENNIS FUSI CARSON	4421695	DENNIS FUSI LAKEWOOD	4922051

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 trial application, setting forth all the information. Both administrators must date and sign.

### [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 section for exception)
- Notice and Request for Allowance of Lien

## [Correcting Information in EAMS](#)

You may find that information in EAMS is not correct or accurate. You may 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 information corrected before you try to file your document. Be sure to attach documentation if any, to support your requested change.

Some items you can request to be corrected:

Spelling of injured worker's name – employer's name  
Removal of punctuation in names or addresses  
Date of Injury  
Date of Birth

## [Cover Letters](#)

Generally, do not file cover letters and definitely do **not** file Transmittal letters.

If you have a FILE and SERVE cover letter WITHOUT a proof of service, then scan the file and serve cover letter with the document you are submitting. Do not attach it separately.

However, if the file and serve cover letter that is being used in place of a proof of service is for an e-form, then scan and use ADJ – LEGAL DOCS – PROOF OF SERVICE.

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

At this time, the DOR does not have this selection.

Best approach is to 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.

## [Dismissal of Attorney](#)

(See Notice of Representation – Substitution of Attorney above)

## [Document Titles](#)

In the e-forms, the Document Titles that appear include both internal (for DWC use only) and external titles. You are to use **only** the external Document Types and Document titles. The list of these can be found on the e-forms webpage. It is in Excel format and can be saved to the desktop of all computers for easy reference.

Specifically, do not use any Doc Title that begins with “ORDER” and do not use any of the “NOTICE OF INTENT” Doc Titles.

For ADJ, you can only use the Document Types:

LEGAL DOCS  
LIENS AND BILLS  
MEDICAL DOCS  
MISC

Do not use the Document Types of EMPLOYER or EVIDENCE.

If the Doc Title is not in the Doc Title List found on the OCR forms, do not use it.

If you just cannot find a Doc Title to fit your document, use ADJ – MISC – CORRESPONDENCE-OTHER.

Do **not** use “TYPED OR WRITTEN LETTER” unless it is something that must be brought to the immediate attention of the WCJ. It will sit in the MISC Document Queue and when addressed, a task gets sent to the WCJ.

Do **not** try to make one up.

## [Duplicate Filings](#)

In a word...**DON'T**....

Please do not file duplicates of forms or documents that are already in the case file, whether in hard copy or electronic. If you do not see your form in FileNet by the next day, it probably went to the UDQ. You can email the EAMS Help Desk to see if it did. Do not just resubmit it.

If your batch is in the UDQ, do not re-file it until you hear from the UDQ operator as to why the first batch failed. You will be receiving an email. We may have corrected the error and reprocessed the batch and it will then go through. Your duplicate re-filing just ends up back in the UDQ causing even further delay. Even if the EAMS Help Desk tells you why it failed, **wait**. Do not fix and resend. Unfortunately, we only are told by the system of one error at a time. We check for not only that one error, but to see if there are others that need to be fixed so that you and we do not have to go through the process multiple times.

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

If you do not see your form or document in FileNet by the next business day, it probably went to the UDQ or is in the wrong case because you entered an incorrect case number. Do **NOT** re-file. You may send an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with all the required information – Batch ID, injured worker name, DOB and EAMS case number

Before you file your proposed trial exhibits, check the case documents first before filing. If the document is 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 to by the WCJ. They too are already in the case file.

### **Emails**

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 reply.

Direct your emails as follows:

EAMS Help Desk – for information and assistance or as specified in this Guide  
[EAMSHelpDesk@DIR.CA.GOV](mailto:EAMSHelpDesk@DIR.CA.GOV)

Central Registration Unit (CRU) – for issues regarding Uniform Assigned Names  
[CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV)

E-Forms – 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 the above, be sure to put what the area/issue is in the subject line. For example, "UN-ARCHIVE CASE" "UDQ" "CAN'T LOGIN" "CAN'T OPEN E-FORM"

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

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 permitted, emails to 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. To do so, press Alt + PrtScn. This will copy the page that is active on your desktop. Open a Word document. Either press Ctrl + v or right click and select paste. The screenshot will paste to the Word page. Save this and then attach it to your email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV)

Specific Error messages:

"No case could be found which matched the search criteria"

You tried to open a case after your search in EAMS. All this means is that you are not shown as a case participant.

Perform a Public Information Case Search. If you are not listed in the case participants, 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 ADJ 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 itself appears in FileNet.

## [External Request For Action](#)

As e-filers, you get to electronically request a case either be continued or go off calendar.

You 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

At the same time, you submit your External Request for Action from the ADJ Home Page of the case. 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 D)

You need to confirm that your e-filed document is in the case documents. You may then email the EAMS Help Desk to see if the task was generated by the External Request for Action you submitted. This is all the Help Desk can do – tell you if the task was sent. Then you wait.

You may check the case to see if the requested action has occurred. Since the request can only be to either OTOC or continue the case, check the Hearing Case Home page. You can also check Events from the ADJ Home Page. Do not continue to email the EAMS Help Desk once they have advised that the task was generated.

If you cannot tell if the requested action has not been completed by no later than the business day before the hearing, you may email the EAMS Help Desk again and if the WCJ took action on the request, they can tell you that. If action has not been taken, you would then need to contact the WCJ’s secretary to follow up on their processing the Request. The EAMS Help Desk cannot help in that regard. They can **only** verify to you that the task was generated from the External Request for Action and if the WCJ acted upon it, they will provide you with the result.

If you are submitting your External Request for Action where you filed your DOR listing companion cases, you must 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 be sure to include all companion cases.

## [External Users Page Views](#)

See Appendix C

## Field Information

EAMS is looking to match on specific information listed in the field, such as Name fields, Date fields and Monetary fields. When you put something else in those sections such as “see attached,” it will err to the UDAQ. For example, you have a CT claim with multiple employers/carriers/administrators/attorneys. On the Application for Adjudication of Claim, you enter the name of one of them for the Employer, Insurance Company, Claims Administrator’s and Law Firm Name fields. In the comment section is where you can add SEE ATTACHED ADDENDUM for the others and list them in the addendum.

Where they do not apply, e.g. if there is no applicant’s attorney, defense attorney, lien representative, new case filing, etc. leave these fields blank, Do not type NONE, UNASSIGNED, Pro Per or anything else in the field. Leave the field(s) blank.

Filling in only the mandatory fields on a form is insufficient and the form is incomplete and potentially invalid.

## In-camera Review

Do not e-file your documents. File your DOR requesting a conference calendar. Appear with hard copy of your documents. If you are requesting that portions of the documents be sealed, be sure to have the appropriate Document Coversheet and Document Separator Sheets.

The WCJ will need to seal those portions at the time of OCR filing. Otherwise, if not sealed, following the conference, you would then e-file the documents.

## Labeling Scanned Attachments

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

When labeling your scanned documents, be descriptive – e.g. “Smith AME report” – “4906(g)” – “Fee Disclosure Statement” – “Wage Statement” – This makes it easier to identify than “8A8833899l.adj.pdf” especially when there are several with the Doc Title “CORRESPONDENCE-OTHER”

If you abbreviate, it must make sense to anyone reading it. If you just cannot abbreviate the name so that it makes sense to everyone, don’t.

For Example:

Signed C&R

Compromise and Release

Signed Stips

Stipulations with Request for Award

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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 "Applicant 1" or "Defense A" or "LC 10" etc. Documents are not exhibits until so designated by the trial WCJ.

Here is a good example:

▼ Actions Menu Items Found: 8

<input type="checkbox"/>	<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				

And when you do things right, we get emails that say:

Chuck,  
Please take a look at ADJXXXXXXXX, if you have a chance.  
The e-filed documents were correctly labeled by XXXXXXXXXXX.  
This is the first time I've seen this by any e-filer, in any of our files.  
I know you hear lots of complaints, but this is an instance where the e-filer deserves a compliment. It made my review of the Stips much easier.

A happy WCJ is a good WCJ

## Legally Uninsured

If the employer is legally uninsured, do **not** put their name and address in the insurance company fields – they do not have the role of insurance company – checking the radio button “legally uninsured” takes care of identifying that they are legally uninsured. Leave the insurance company section completely blank.

You do need to enter the claims administrators’ office UAN in the claims administrator section. If the legally uninsured employer self-administers’ its claims, their UAN would be listed in this section as well as in the employer section.

## Medical Reports

When attaching medical reports, do **not** use “EVIDENCE” as a Document Title

If 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 in together. This just means that it is a report that is not by an AME/QME/PTP

Medical reports are filed separately. Do not scan all of one doctor’s reports together as a single document. For example, John Jones MD has 3 reports you are filing. You will 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

Please enter the person’s and employer’s name exactly as it is in EAMS. You can verify the EAMS spelling by your General Public Search.

Unless their listing in EAMS has a suffix, do not use one. For example, “JON JONES JR” – leave off the “JR” - “ACME WIDGETS INC” – leave off the “INC” – “PACIFIC COAST BARRELS LLC” – leave off the “LLC” Do not include the suffix unless that is how it already is in EAMS.

When filing on a case where the injured worker is deceased, 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” – you must spell it out.

A hyphenated last name will **not** have a hyphen – e.g. FRIEDA JONES SMITH

If you see any injured worker or employer 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 them removed before you try to file your document.

Again, there is no punctuation or special characters used in a name.

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

EAMS matches on the injured worker's last name, date of birth and/or social security number (SSN). For your clients with common last names, we do recommend you include your client's SSN when submitting a case opening document.

Thus, there are occasions when your case opening document may result in the case being created for a different injured worker. For example, Mary Smith and Johnny Smith both have the same date of birth and Johnny Smith has an existing case in EAMS. When you file your case opening document for Mary Smith, you did not list her SSN. EAMS matched on the last name and date of birth, creating the case and issuing the Notice of Application on Johnny Smith.

Should this 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 you do have permission to send the injured worker's SSN, please include that as well.

You should hand-correct the name on a copy of the Notice of Application and serve all case participants. Do not send this to the District Office.

### **Notice Of Representation – Substitution of Attorney – Dismissal of Attorney**

In order to have your e-filed only, Notices of Representation (NOR) and Substitutions of Attorney (SOA) processed quicker, we have set up a new email address: [EAMSNOR@DIR.CA.GOV](mailto:EAMSNOR@DIR.CA.GOV)

First, e-file your NOR or SOA. Be sure to list your UAN and ERN in the Notice of Representation.

Then send an email once a day to the address listed above with NOR or SUB OF ATTORNEY in the subject line, with the following information for processing 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 EAMS Reference Number (ERN)

If your request does not include all this information, it will not be addressed.  
 If you are submitting a request for multiple cases, please do so in either a Word document (table format - landscape if necessary) or an Excel document with the columns labeled as set forth below, and attach it to your email. This is to be sent only once a day. For example:

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

The extra blank column on the left is so that we can check it off as is it completed.

If another pops up after you have already sent your daily email, save it for the next day.

**FILED IN COMPANION CASES**

When you list companion cases on the Document Coversheet, your NOR/SOA is filed in all the listed cases, but you are added to the case participants only on the first case number listed on the Document Coversheet. Be sure to list all the companion cases when emailing the Help Desk.

Instead of a NOR prepared on pleading paper, you may submit a Letter of Representation, provided you show as "cc" all the case participants you are serving. As long as you have a "cc" of the case participants or a "cc" "See Attached Mailing List" with the list attached, you would not need a proof of service. Otherwise, do scan a proof of service with the letter as a single multi-page document. You still use ADJ – LEGAL DOCS – NOTICE OF REPRESENTATION.

**DISMISSAL OF ATTORNEY**

If you are filing only the Dismissal of Attorney, use ADJ – LEGAL DOCS – DISMISSAL OF ATTORNEY

**DISMISSAL OF ATTORNEY WITH SUBSTITUTION OF ATTORNEY**

If both of these documents are being filed, scan them in as one document.

This “document” would be submitted using ADJ – LEGAL DOCS – SUBSTITUTION OF ATTORNEY.

### **SUBSTITUTION OF ATTORNEY**

Filing only this document, use ADJ – LEGAL DOCS – SUBSTITUTION OF ATTORNEY. When filing either one of these documents or both together in companion cases you need to list all the case numbers on the Document Coversheet – do **not** file them separately for each case.

### **OCR Filing**

As you are aware, e-filers are no longer limited to only e-filing. You may file by OCR as well.

If you are filing a structured form by OCR, you must use the OCR version. Do not use the e-form version as it will not scan.

### **One Injured Worker Per Batch – One Product Delivery Unit Per Batch**

Each batch is to be 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 have one Product Delivery Unit per batch, e.g. if filing in ADJ, all documents have only ADJ Doc Types and Doc Titles; if filing in DEU, all documents have only DEU Doc Types and Doc Titles

### **Order Suspending Action on Settlement**

Do **not** re-file the e-form. Just amend the signed document, all parties initial the amendment(s), re-scan, re-label “Amended C&R” or “Amended Stips” and re-file using ADJ – MISC – 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 either:

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

## [Petitions](#)

DWC processes Petitions, not Motions.

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

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

Be sure to select the proper Petition Doc Title. If there is no direct Doc Title, please use ADJ – LEGAL DOCS – PETITION-OTHER. Be sure to label your Petition clearly, especially when using this catch-all Doc Title.

## [Petition for Commutation](#)

Remember, this is different from a Request for Commutation (see below).

You may e-file this using ADJ – LEGAL DOCS – PETITION FOR COMMUTATION

You must call the District Office and advise the DEU 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.

Remember, if you are filing only a single unstructured document, such as your Notice of Representation, Substitution of Attorney, Petitions, etc. your proof of service is part of the document so scan it in with the document. It is not attached separately.

In **all other situations**, where you are serving more than one document, when attaching the Proof of Service, use ADJ – LEGAL DOCS – PROOF OF SERVICE

Your proof of service **must** have **all** of the following in the upper left hand corner:

Uniform Assigned Name

EAMS Administrator Name

EAMS Administrator's Phone – Direct or with Extension

EAMS Administrator's Email

Although not required, please also 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. But, when labeling them as you scan them into your system, please use "Proposed Order" "Proposed Award" etc. to better identify the document to you, the other case participants and specifically for the WCJ.

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

## **Punctuation in Names/Addresses**

If you see there are special characters or punctuation in a name or address, before you file, email either [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) or [CRU@DIR.CA.GOV](mailto:CRU@DIR.CA.GOV) to request that they be removed. Do not e-file until you receive a responsive email that it has been completed.

## **Radio Buttons**

Do not check a box/radio button unless you really mean it because you will not be able to uncheck and you will have exit and start from scratch

## **Reconsideration Or Removal**

**Petition for Reconsideration:** Use only the Document Title:  
ADJ – LEGAL DOCS – PETITION FOR RECONSIDERATION

**Petition for Removal:** Use only the Document Title:  
ADJ – LEGAL DOCS – PETITION FOR REMOVAL

Do not use PETITION FOR RECONSIDERATION/REMOVAL. This Document Title does not generate any task or work flow.

You must email the Control Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) that you have e-filed your Petition. Your email Subject Line should state "E-filed Petition for (Recon) (Removal)"

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

Use only either:

ADJ – LEGAL DOCS – ANSWER TO PETITION FOR RECONSIDERATION

ADJ – LEGAL DOCS – ANSWER TO PETITION FOR REMOVAL

You must email the Recon Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) that you have e-filed your Answer. Your email Subject Line should state “E-filed Answer to (Recon) (Removal)”

**Supplemental Petition for Reconsideration or Amicus Brief**

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

First, you must prepare your written request (letter) to file such a Petition. You will e-file this using ADJ – MISC – CORRESPONDENCE-OTHER. Your letter will reference your request to file either a Supplemental Petition for Reconsideration or an Amicus brief.

Second, at the same time, you e-file your Petition using ADJ – LEGAL DOCS - SUPPLEMENTAL PETITION FOR RECONSIDERATION – you use this Doc Type and Doc Title for either the Supplemental Petition or the Amicus brief

Third, you must email the Recon Unit that you have e-filed your request and the Supplemental Petition/Amicus brief to [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) – your email Subject Line should note either “E-filed request to file Supplemental Petition for Recon” or “E-filed request to file Amicus Brief”

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

If your timely submitted Petition or Answer failed and was deleted, it is recommended by the WCAB that you revise your Petition/Answer and note in your initial paragraph that the document is being resubmitted; set forth the original submission date and that you have included your Batch ID as an attachment to the document and that the filing date should be the original submission date per 8 Cal Code Reg §§ 10222.

**Withdrawal of Petition**

Use only:

Reconsideration      ADJ – MISC CORRESPONDENCE-OTHER

Removal                ADJ – LEGAL DOCS – REQUEST TO WITHDRAW PETITION FOR REMOVAL

You must email the Recon Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) that you have e-filed your Request to Withdraw your Petition. Your email Subject Line should state “E-filed Request to Withdraw Petition for (Recon) (Removal)”

### **Settlement Submitted while Recon is Pending**

E-file the settlement document as you normally would.

You must email the Recon Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) that you have e-filed your Settlement. Your email Subject Line should state “E-filed C&R” or “E-filed Stipulations with Request for Award”

### **Petition for Reconsideration of Arbitrator Award**

These are handled just like a regular Petition for Reconsideration. File your Petition, and at the same time, email the Control Unit at [CONTROLUNIT@DIR.CA.GOV](mailto:CONTROLUNIT@DIR.CA.GOV) that you have e-filed your Petition. Your email Subject Line should state “E-filed Petition for Recon”

### **Request for Commutation**

This is filed as an unstructured document where you are requesting that the DEU prepare a commutation calculation.

You may e-file this using DEU – DEU FORMS – COMMUTATION REQUEST.

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

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

You may do so by entering the ADJ case number and click Search.

If your office is a listed case participant, the case will be listed in the “Search Results.” If you receive the message at the top “No case could be found which matched the search criteria” means only that your office is not listed as a case participant. You either file your NOR or if you believe it is an error that you are not listed as a case participant, you may email the EAMS Help Desk with the case number, injured worker’s name, DOB and the DOI for which you are searching.

To search by Participant Type – select Person – click on the magnifying glass to the right. There are three (3) ways to search:

1) If you know the person’s EAMS reference number, enter that and click Search.

- 2) Enter the person's first and last name and DOB and click Search
- 3) Choose "Alternate ID Type" and select "Social Security Number" and enter their SSN (no spaces or dashes) in the Alternate ID field and click Search

If the person is in EAMS, you will see them listed in the Search Results. If their name is not listed, then no case exists for them. Go ahead and file your case opening document.

If their name is listed in the Search Results, click on "Select" – that takes you back to your External User Search for Information page. Click on "Search" – if you are a case participant, the Search Results will list the case(s) for this person in which you are a case participant. To view the case information, click on the highlighted "Case Number"

However, if you receive the message at the top "No case could be found which matched the search criteria" means only that your office is not listed as a case participant. Do **not** file a case opening document. You need to do a Public Information Case Search under the injured worker's name - direct link to the search tool - <https://eams.dwc.ca.gov/WebEnhancement/>

This search will list all of the cases for the specified injured worker. If the DOI you are concerned with is not listed, then do file your case opening e-form. Otherwise, you will now have the EAMS case number to use on your documents.

## **Self-Insured Employer**

If the employer is self-insured, do **not** put their name and address in the insurance company fields – they do not have the role of insurance company – checking the radio button "self-insured" takes care of identifying that they are self-insured. Leave the insurance company section completely blank.

You do need to enter the claims administrators' office UAN in the claims administrator section. If the self-insured employer self-administers' its claims, their UAN would be listed in this section as well as in the employer section.

## **Service of Notices**

If you are ordered by the WCJ to service Notice of something, e.g. Minutes of Hearing, 5-Pager, Order Approving, Award, etc, do **not** file it with your Proof of Service unless and until directed to do so by the WCJ.

EXCEPTION, if service of the document will be an issue at an upcoming conference or trial date, do e-file the Proof of Service prior to the new hearing date. Be sure to re-label the Proof of Service, for example: "POS of MOH 12/12/2011" or "POS 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 form. Otherwise, if it is only one case number, you need to serve only the completed form.

## [Signature – S Signature](#)

Use of the S signature is limited only to electronic filing. Please refer to E-Forms Trial Additional Conditions #2 posted on the website.

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 initial.

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

In addition to the e-forms listed below on which you must use the S signature, it is now acceptable to use it on your 8 Cal Code Reg §§ 10770.5 and 10770.6 Verification and your Proof of Service.

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

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  
Request for Reimbursement of Accommodation Expense  
Request for Dispute Resolution before the AD  
Request for Dispute Resolution  
Request for Summary Rating – QME RU-101  
Request for Reconsideration of Summary Rating by AD  
Request for Summary Rating Determination – PTP

As set forth in the Conditions #2, and has been the procedure all along, you must have actual “wet” signatures on those forms that require either the injured worker’s or employer’s signature; those forms that require multiple signatures (settlement documents), and unstructured documents such as Petitions, Objections, medical reports, etc.

**FORMS WITH TWO OR MORE SIGNATURES OR INJURED WORKER/EMPLOYER ONLY MUST BE PREPARED OCR, CIRCULATED FOR SIGNATURE, THEN SCANNED IN TO BE 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 DEU-100 (injured worker only)  
Application for Discretionary Payments from the UEBTF (injured worker only)

**FORMS WITH NO 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**

File these under ADJ – MISC – CORRESPONDENCE-OTHER – but do label your file appropriately – for example: “Sub Records-employer” or “Sub Records-Palomar Hosp”

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

**Substitution of Attorney**

(See Notice of Representation – Substitution of Attorney above)

**Trial Brief**

Use ADJ – LEGAL DOCS – POINTS AND AUTHORITIES- TRIAL BRIEF-HEARING BRIEF

If the brief is filed pre-trial do not reference attachments as “exhibits” in the brief. They are not to be called “exhibits” because the documents are not exhibits until so designated by the trial WCJ at the time of trial. The brief needs to refer to the document

by the name/type of document, e.g. Dr. Smith's 10/10/2010 report. Do NOT attach/include the document with the brief as it is already or is going to be filed as a proposed trial exhibit.

If the brief is filed post-trial, then it 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 no longer have to file their proposed trial exhibits prior to an MSC and can file them by OCR. Should you decide to e-file your trial exhibits, please follow these directions.

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 will file theirs with the WCJ and the e-filer is allowed five (5) working days after the MSC to file their proposed exhibits. This does not obviate the requirement that the e-filer properly prepares their portion of the Pre-Trial Conference Statement listing their proposed exhibits nor their having to ensure service to all case participants with copies of their listed proposed trial exhibits.

Where the WCJ in 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 and the e-filer shall e-file its proposed exhibits so that they are verified by the e-filer to be in the case (FileNet) no later than five (5) business days prior to the deadline date.

Where the WCJ in her/his discretion requires the case participants to file their proposed trial exhibits on the day of trial, the OCR filer will do so and the e-filer shall e-file its proposed exhibits so that they are verified by the e-filer to be in the case (FileNet) no later than five (5) business days prior to the date of trial.

Do note that you are not to file duplicate documents. If they are already in the District Office file, either in paper or electronic form, you do not file them a second time. No duplicates please. This is especially true for medical reports and lien bills/itemized statements.

Do **NOT** use EVIDENCE as a Doc Type or TYPED OR WRITTEN LETTER as a Doc Title.

If you just cannot find a Doc Title to fit your document, use:  
ADJ – MISC – CORRESPONDENCE-OTHER.

If 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 scan all of the non-QME/AME, P&S or treating physician reports together as a single multi-page document. This Doc Title just means that it is a report that is not an AME/QME, P&S or treating physician report.

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

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

Scan the following types of items into a single document, unless a specific one(s) is in issue. Do not file them separately:

Benefit Notices  
Explanation of Benefits (EOBs)  
LC § 4906(g) statements  
Lien bills  
Medical Management Reports  
Physical Therapy Notes

## Venue

You must select one (1) of the 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

You then must enter the zip code of the address corresponding to the selection made above. For example, if you select County of residence of the employee, you must enter the same zip code in the venue zip code box as you enter for the employee's zip code. If they do not match, your form will err to the UDQ.

Claims administrators, defense attorneys, lien claimants and lien claimant representatives' offices' filing the Application as "Applicant if other than Injured Worker" can choose only from the first two options.

Representatives' offices - your client may be the "Applicant" because they are filing the Application, but the representatives' office is not the employee's attorney and venue cannot be selected on that basis.

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

Labor Code § 5501.5(b) requires the venue authorization. To avoid any potential confusion by the DWC staff as to when a venue authorization is necessary, it is considered to be part of the application packet for all filings.

It was determined that the venue authorization will be part of the Application package for both OCR and e-form filers. Our District Office staff and our e-form UDQ operators do not have the time to review each application, especially when the venue selected is based on the attorney's office, to see if the injured worker resides in that county, or in the situation of a multiple District Office county that the venue selected on the form coincides with the address of the injured worker or the office of the attorney.

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](#)**

To see which WCJ is assigned, if you are in the case in EAMS, go to the ADJ Case Home Page – under Case Details you'll see Case Owner – if a WCJ is assigned to the case, her/his name will appear there.

You can also go to ADJ Case Home Page – Click on Hearing Case in the left hand Navigation menu – this takes you to the Hearing Case page – Click on the Case Reference # and that takes you to the ADJ Hearing Case Home Page – scroll down to the bottom and you will see a history of the hearings that have been held. If one says "Scheduled" it will be the upcoming hearing date – and it will show the Hearing Official (WCJ) assigned.

You can also see which WCJ is assigned to the hearing, in one is set in the future, through a General Public Search - <https://eams.dwc.ca.gov/WebEnhancement/>

### **[Writ of Review](#)**

Do **not** file a copy electronically and do not mail a copy to the District Office.

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

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

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. As additional e-forms are modified, you will be notified.

You will see below, for example, “ADJ – LEGAL DOCS – PROOF OF SERVICE” – this is in the format of “Case Type – Document Type – Document Title”

### **Document Coversheet**

When you prepare a structured e-form, it always starts with a Document Coversheet. Always select “CTL” for the location field. The Document Separator Sheet is automatic and not seen or filled in.

When you prepare an Unstructured Document, this e-form is a combination Document Coversheet and Document Separator Sheet

**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.**

**EXISTING CASE**, you need ONLY to list the EAMS case number [in addition of course to checking that it is not a new case, whether it is a walk-through, entering the date and checking the product delivery unit] (**See Amended Application for Adjudication of Claim for the only exception**)

The same holds true for existing companion cases – just list the EAMS case number. (Be sure to check the companion case radio button)

Do not list SSN, Type of Injury (specific or CT), DOI or Body Parts.

**NEW CASE – CASE OPENING DOCUMENT**, you MUST specify if specific/CT, list the DOI and list the body part codes (in addition of course to checking that it is a new case, whether it is a walk-through, entering the date and checking the Product Delivery Unit)

**YOU CAN ONLY FILE ONE NEW CASE PER DOCUMENT COVERSHEET**

Do **not** list any companion cases even if there are such cases. For a new filing, ONLY the new case information can be on the Document Coversheet (**See filing a settlement document that is adding a new case to an existing case for the only exception**)

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. As additional e-forms are modified, you will be notified.

## **Document Separator Sheet**

Remember, this is hidden and automatically created/attached on a structured e-form. Only on the Attachment link and the unstructured e-form will you be filling out information that would be found on a Document Separator Sheet.

You must select the proper Product Delivery Unit (generally ADJ), Document Type and Document Title and enter the Document Date and Author.

In the 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. The list of these can be found on the e-form filers web page. Print it and keep it at all stations where filing will be done. It is in Excel format and can also 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

If your case is for an IW with a very common last name, e.g. Smith, Rodriguez, etc., please enter their SSN on the Document Coversheet. EAMS matches on the IW last name, DOB 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 IW does not have an SSN, or does not want to provide it, please so indicate in the body of the e-form or if you are already using an addendum, please indicate it there. If putting it in the e-form:

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](#)

This filing package consists of:

### **FILED BY REPRESENTATIVE FOR THE IW:**

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

**FILED BY CLAIMS ADMINISTRATORS' OFFICE OR REPRESENTATIVES' OFFICE FOR THE CLAIMS ADMINISTRATORS' OFFICE\*:**

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

**FILED BY THE LIEN CLAIMANT OR LIEN CLAIMANT REPRESENTATIVES' OFFICE\*:**

E-form Application for Adjudication of Claim  
LC §4906(g) ADJ – LEGAL DOCS – 4906(G) DECLARATION  
10770.5 Verification ADJ – LEGAL DOCS – 10770.5 VERIFICATION  
Proof of Service ADJ –LEGAL DOCS – PROOF OF SERVICE

\*Application filed by an “Applicant (if other than injured employee)” In the name field, you would enter:

Claims Administrators – Your UAN goes in the name field – the Applicant Attorney/Representative name field is blank – do check the box “Insurance Carrier”

Defense attorneys – When filing on behalf of a claims administrators’ office, their UAN goes in the name field and your UAN goes in the Applicant Attorney/Representative name field blank – you are the “applicant” attorney in this situation as your client is the “Applicant if other than Injured Worker”

Lien Claimants – Your Quasi UAN goes in the name field.

Lien Claim representatives – Your client’s name (lien claimant) goes in the name field and your UAN goes in the Applicant Attorney/Representative name field

If filed by a r epresentatives’ office, your S signature goes 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, your S signature goes in the applicant’s signature field.

Do **not** file a N otice of Representation or a S ubstitution of Attorney. Y ou are automatically added to the case participants.

## **Amended Application**

Use the e-form. Ensure that the AMENDED box on Form 1 is checked. Do not prepare an OCR version and file as an unstructured e-form.

On the Document Coversheet, you **must** enter the injury type (specific/CT) and DOI even though you have an EAMS case number. Failure to do so will cause EAMS to insert a default DOI of 01/01/2001.

If you are amending the DOI, the **new DOI must be listed on the Document Coversheet.**

You must also put in Paragraph 2, or in an addendum EXACTLY what is being amended, i.e. DOB, DOI, earnings, occupation, body parts, etc. For example: “Amending DOI to 01/01/2008” or “Amending DOB to 01/01/1950” or “Adding Body part codes 100, 101, 103.” The amendments have to be manually entered in our system.

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

**NOTE:** Do **not** list any companion cases. Do **not** re-file your 4906(g), venue authorization, fee disclosure statement, DWC-1, or 10770.5 verification.

**NOTE:** Information amended by amended applications will not get completed, normally, unless it ends up in the UDQ first, since someone in the District Office will have to make these amendments.

### **ALTERNATIVE**

Instead of preparing the e-form, you may submit a letter setting forth that which is to be amended, i.e. DOB, adding body part codes, etc. You use ADJ – MISC – TYPED OR WRITTEN LETTER so that a task will be generated and the District Office staff will have to address it. This would be one of the very limited times you would use this Doc Title.

### **Death Application**

When filing on a case where the injured worker is deceased, 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” – you must spell it out.

First, you must prepare the old legacy death Application with an actual wet signature, scan it to your system, and label it “Death Application.”

As an e-filer, you will file the e-form Application, noting in paragraph 2 that it is a death case and that the legacy death application is attached.

You attach your scanned legacy death application using ADJ – MISC – CORRESPONDENCE-OTHER. (NOTE: You must attach all other required attachments noted above)

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

If the deceased has an existing case in which you claim the death is related to the injury, you file an amended application.

We do plan on adding the death application to both the OCR and e-forms in the near future.

### **Notice of Application**

If you receive a Notice of Application listing a name other than your injured worker, do **not** file an amended one. Email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with the case information and attach a copy of the application you filed. Our system matches on the injured worker last name and DOB and for common last names, it may create the case for an existing injured worker. For example, you file an Application for Emma Jones and the Notice of Application shows the case is for John Jones. We will need to manually register Emma Jones and move the filing information to her home page.

### **Answer to Application**

On Form 1 in the field “Name(s) of Answering Party(ies)”

- If filing by or on behalf of the claims administrator, put only the UAN of the claims administrator in this field.
- If the application was filed by the defense or a lien claimant, and the Answer is being filed by or on behalf of the injured worker, put the injured worker’s name in this field. (rare)

Do **not** list any companion cases.

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

### **Application for Discretionary Payments from the UEBTF**

UEBTF must be joined to the case before this e-form can be filed. It is not a UEBTF PDU case opening document. Use the UEF prefix on the case number.

## Disability Evaluation Unit (DEU)

Contrary to the information noted at page 7 pertaining to the Integrated Case and opening a new Product Delivery Unit case, where there is an existing ADJ Case Number, even if there is no DEU Product Delivery case open, when listing the EAMS case number on the Document Coversheet, **do use** the DEU prefix. For example, you have case ADJ123456. 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 Unit, the e-form will err to the UDQ. The UDQ operator will create the DEU Product Delivery in the case **only** if there are no errors in the filing and then reprocess the batch. If the DEU Case exists, and there are no errors in your submission, the batch will process into EAMS.

If there is no existing EAMS case, you must select “new case,” leave the case number field blank, and enter all case opening information on the Document Coversheet.

Include companion case #'s on the coversheet.

If you file a DOR for a Rating MSC, also file a Request for Rating with DEU.

### **REQUEST SUMMARY RATING**

If you are requesting a rating in a Pro per case before the Application for Adjudication is filed, you must use either of the Request for Summary Rating Determination forms. One is for a QME report; the other is for a PTP report.

### **REQUEST FOR CONSULTATIVE RATING**

This form is to be used only in cases in which there is an existing ADJ case number. You cannot do an e-filed walk-through of a Consultative Rating request. See Reg 10280 for those documents that can be submitted on a walk-through basis. The “walk-in” referred to on the form is for when you are AT A CONFERENCE at the District Office. You can fill it out OCR at the conference (actually, best if you type it in advance and have it with you) and submit it with the medicals (if they 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 aspect of the case, be sure to inform the DEU of this when you submit the walk-in consultative rating request.

- **NOTE:** At this time, the field “requested by” and the name field for “A copy of this request has been served on” found on Form 2, will accept **only** a representatives’ offices’ UAN. Do **not** enter a claims administrators’ office UAN. A change request is pending to correct this. If necessary, list the representatives’ UAN twice. Unrepresented claims administrators’ offices, list the injured worker’s

representatives' UAN, twice. Then 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 please be sure to check the Radio Button for "Representing the:" select either "Employee" or "Employer" Failure to do so will send your form to the UDQ

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

This filing package consists of:

E-form DOR

Medical Report – attach only 1 – 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:  
10770.6 verification      ADJ – LEGAL DOCS – 10770.6 VERIFICATION

The form allows you to list only one medical practitioner and report date. You may reference appropriate additional medical report(s) in the text field on Form 2.

If the issue for which you are submitting the DOR is non-medical, do not list anything in the medical report field. Leave it blank. In the text field on Form 2, you may identify the document you are attaching. For example, the issue is earnings. You will attach only the one document addressing earnings, and identify it in the text field on Form 2.

You will 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. This 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.

### **DOR SHORTCUT:**

You can check to see if you can file your DOR by entering just the date and case number on the DCS, then go to Form 2, select the type of conference and click on Search. If you get a date, then go back and fill in the rest of the Document Coversheet and the 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). In the prior regulations a status conference was defined so as to include a “lien conference”. That language was dropped for the regulation and the lien conference was created as a separate and distinct proceeding.

The case must have at least one (1) lien claimant in order to file your DOR. 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.

### **WITHDRAWAL OF DOR**

Submit your written request using:

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

At the same time, submit an External Request for Action, requesting that the case be taken off calendar. Be sure to reference in the comments that you have filed the written request to withdraw your DOR.

### **DOR ERROR MESSAGES**

#### **“No suitable slot available”**

Please email the EAMS Help Desk with the case number, injured worker’s name, type of conference requested and the location of the District Office. The EAMS Help Desk will then 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.”**

Do either a Public Information Case Search; the link is found on the EAMS main website page, or a case search in EAMS. If there is a hearing date shown, then you cannot file your DOR. If no hearing date is shown, please email the EAMS Help Desk with the case number, injured worker's name, type of conference requested and the location of the District Office. The EAMS Help Desk will then contact the District Office to get the past hearing closed. The EAMS Help Desk will keep you advised of their efforts. Once you get their email 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, but before you actually submit the DOR, the slot is taken by someone else and when you click to submit your DOR that error message appears, even though you had been able to select the date and time.

"Case is archived"

Send your email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) to have your case un-archived before you can file.

## **[DOR For Satellite District Office](#)**

You must file this only by OCR, since the e-form will not allow you to select a satellite District Office.

## **[Expedited DOR](#)**

Please note that you cannot select a hearing date. All Expedited DOR'S must be reviewed by the Presiding WCJ or his/her designee.

## **[General Public Request for Information](#)**

Do not use until further notice. All Public Records Act (PRA) requests are to be done hard copy.

So, effectively immediately, you will need to prepare your Public Records Act requests in hard copy. The link below takes you to the page on our DIR website with information, guidelines and the form to use.

<http://www.dir.ca.gov/DWC/PublicRecordsAct/PublicRecordsAct.html>

E-form - this is a Public Records Act request for information. Do not attach any documents to this request. It is an e-form that is submitted by itself.

E-filed Public Records Act requests, using the e-form GENERAL PUBLIC REQUEST FOR INFORMATION are directed to the State PRA Coordinator in Sacramento, not to the local District Office for the case.

## Notice and Request for Allowance of Lien

Currently you cannot file ANY amended liens at this time. They ALL must be original, even if it is the umpteenth lien filed in the case. Our system is not picking up the Original File Date, so when a lien is filed with the Amended box checked and even with the proper Original Lien Date entered on the form, the system cannot find the original filing date because it did not initially put it in the system. This is true for ALL post EAMS liens. At this time, there is no such thing as an amended lien. You just file them all as original. A change request is pending on this issue and when implemented, these instructions will be amended.

This filing package consists of:

Notice and Request for Allowance of Lien  
Itemized Statement of Charges

- If it is a Medical Bill           ADJ – LIENS AND BILLS – MEDICAL BILLS
- If it is any other bill           ADJ – LIENS AND BILLS – BILLS OTHER
- 10770.5 verification \*       ADJ – LEGAL DOCS – 10770.5 VERIFICATION
- Proof of Service               ADJ – LEGAL DOCS – PROOF OF SERVICE

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, EOB'S, ETC. OF ANY KIND WITH YOUR LIEN – you file ONLY your itemized statement of charges in support of your lien. These will be filed later and only if for trial exhibits.

If filed by a r epresentatives' 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.

### **LIEN FILED IN COMPANION CASES**

When you list companion cases on the Document Coversheet, your lien is filed in all the listed cases, **but** you are added to the case participants **only** on the first case number listed on the Document Coversheet. As such, we recommend that you file the lien

separately in each case. This ensures that you and your lien claim representatives' office are listed as a case participant and will get notice regardless of which case is used to file a DOR. This is a known issue and we are working on resolving it.

### **LIEN CLAIMANT NAME FIELD**

If the lien claimant is an organization, such as "Acme Surgical Tools," you enter the organization name in the Organization Name field. Do **not** put anything in the first and last name fields. They remain blank.

Lien claimants in the trial – you have a quasi-UAN. Even if you are an individual, you are an "organization" for purposes of filing. Your quasi-UAN goes in the organization name field and you leave the first and last name fields blank.

If the lien claimant is an individual, such as John Smith MD, you enter their information in the first and last name fields and leave the organization name field blank

The screenshot shows a web form titled "Lien Claimant" with several input fields. The "Organization\*" field contains the text "ACME SURGICAL TOOLS". The "First Name\*" and "Last Name\*" fields are empty. The "Address/PO Box\*" field contains "PO BOX 1234", "City\*" contains "HERE TODAY", "State\*" contains "CA", "Zip Code\* (Numbers Only)" contains "94621", and "Phone (Numbers Only)" contains "8885551212". A yellow callout box points to the "Organization\*" field.

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

Leave Blank when lien claimant is an Organization

The screenshot shows a web form titled "Lien Claimant" with several input fields. The "Organization\*" field is empty. The "First Name\*" field contains "JOHN" and the "Last Name\*" field contains "JONES MD". The "Address/PO Box\*" field contains "987 HARVARD SQ", "City\*" contains "GONE TOMORROW", "State\*" contains "CA", "Zip Code\* (Numbers Only)" contains "94621", and "Phone (Numbers Only)" contains "8885551212". A yellow callout box points to the "Organization\*" field.

Lien Claimant	
Organization*	
First Name*	JOHN
Last Name*	JONES MD
Address/PO Box*	987 HARVARD SQ
City*	GONE TOMORROW
State*	CA
Zip Code* (Numbers Only)	94621
Phone (Numbers Only)	8885551212

Leave Blank when lien claimant is an individual

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

File your Notice of non-appearance/Notice of availability by phone using ADJ – MISC – CORRESPONDENCE-OTHER

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 cannot provide you with the injured workers' address. If you have the injured worker's address, please list it on the lien. If not, you may type PROTECTED PER DWC POLICY in the address line. For the city and state, please use the following hierarchy:

Injured worker city and state

Applicant attorney city and state

Lien claimant city and state

Lien claimant representative's city and state

Defense attorney city and state

## **EDD LIENS**

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

Your 2581 must have an S Signature.

## **ATTORNEY FEE LIEN**

You now can enter alpha characters, such as "REASONABLE" in the monetary amount field. If this does not function, then always use \$100,000.

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

Contrary to the information noted at page 7 pertaining to the Integrated Case and opening a new Product Delivery Unit case, where there is an existing ADJ Case Number, even if there is no RSU Product Delivery case open, when listing the EAMS case number on the Document Coversheet, **do use** the RSU prefix. For example, you have case ADJ123456. When filing a case opening RSU e-form, enter RSU123456 in the case number fields. If there is no existing RSU PDU, the e-form will err to the UDQ. The UDQ operator will create the RSU PDU in the case **only** if there are no errors in the filing and then reprocess the batch into EAMS.

If there is no existing ADJ case, you must select “new case,” leave the case number field blank, and enter all case opening information on the Document Coversheet.

## **Settlement Documents**

You **must** initially prepare them in OCR paper form as you are going to circulate the same for signature. Once received fully signed, you will scan it in to your system. You scan in the entire settlement document and any addenda you have with it, as one document.

Do not highlight any portions or fields on the OCR settlement document. For example, do not highlight where someone has to date and sign a settlement document. When scanned, this shows up only as a dark smudge and the writing is not visible or legible. **See sample in the Appendix B**

You then prepare the e-form settlement document and attach the scanned in signed settlement document to the e-form.

You do need to 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 actual 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.

Your Proof of Service is filed as a separate attachment – ADJ – LEGAL DOCS – PROOF OF SERVICE. Do **not** scan it in with 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 then 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, you will note this as a “new case” and list all the pertinent information. You will also check the box “companion cases.” You then list **only** the companion case numbers in the sections below for companion cases.

This is the **ONLY** situation in which you will list companion cases when filing a case opening document.

If you have 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, whether they are in electronic or paper form.

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

It has always been required that the non-represented defendant (claims administrators’ office) is to actually sign the OCR settlement document in the first attorney/non-attorney signature line. This is the same as it was before EAMS.

- **Stipulations with Request for Award** – the claims examiner will sign on page 8, in the first defense attorney’s section – be sure to date it as well. Do **NOT** fill in any information in that section. Do **NOT** check the box for non-attorney representative. You merely date and sign in that section. All other fields in that section are left blank.
- **Compromise and Release** – the claims examiner will sign on page 8 on the first line for defense attorney.

No S Signatures go on the e-form. The e-form merely gets the information into the system and creates the task to the WCJ/SLT. You do **NOT** fill anything in on the defense attorney section and do not select any radio buttons.

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

When you file a settlement and you check the box for “walk through” on the Document Coversheet and there are no errors, it goes to the District Office’s walk through queue. So when you appear before the assigned walk through WCJ the day after you have verified that the documents are in the case, advise her/him of the case number and to check the walk through queue.

When attaching the scanned signed settlement document, be sure to 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. If you use the latter, it creates a different competing work flow that may cause issues with you getting on the walk-through queue.

After you e-file your documents, you must FIRST VERIFY that they are in the case in FileNet BEFORE going to the District Office. Do not just assume that they will be there for you the next day. They may be sitting in the UDQ. You are not to appear if the documents 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.

Please note that you should appear at the latest, the next business day after you confirm your documents are in FileNet. If you do not intend on appearing the next business day, then 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**

As noted above, you must first verify your settlement documents are in EAMS. However, 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 the EAMS Help Desk and ask to check to see 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. At that time, inform the walk-through WCJ that the case is in the walk-through queue. You will also need to request that the WCJ direct that your firm be added to the case participants. Provide the WCJ with your UAN and ERN.

### **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 do not as 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.

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, please be sure to request the WCJ to have your Uniform Assigned Name entered.

### **AMENDED SETTLEMENT DOCUMENT**

The WCJ has issued an Order Suspending Action on your settlement. You have made the corrections, obtained the additional signatures and are ready to re-submit it.

You file an amended settlement document as an unstructured e-form. You do not re-file the e-form version. You label it “Amended (C&R) (Stips)” and file it using ADJ – MISC – CORRESPONDENCE-OTHER. In the same batch, you 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

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

Note, that for an SIBTF application, there must be an existing ADJ case number. You use ADJ for the Product. Do **not** use SIBTF and do **not** select SIBTF.

There are situations in which multiple cases, when combined, reach the threshold requirements. You should 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**

Be careful with typing in the case number – this is the biggest error in the Unstructured e-form UDQ. Ensure there are no spaces between the ADJ and the digits or at the beginning or end of the case number. Be sure to carefully check that each case number was entered correctly. 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.)

If you are submitting numerous documents, such as proposed trial exhibits, it is best to do so in multiple separate batches, generally of no more than five (5) documents per batch. The file size is smaller and will transmit quicker and if you do make a mistake, you will have to redo a smaller number of documents.

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. If you email the Help Desk and you find out the problem, do **not** re-file. Wait until you receive the email from the UDQ operator. The problem may be able to be fixed and the batch reprocessed or there may be others.

## **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 reply.

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

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

### **Help Desk**

Can't see your case in EAMS? E-mail the EAMS Help Desk and get it associated with your login so you can see your case and get the information you need before you file 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, 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 it to the EAMS Help Desk. When the error message is showing, press ALT + PrtScn – this copies the message. Paste it in a Word document and attach it 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), setting forth the issue in the subject line. Do not contact the District Office directly.

Do not email the Help Desk before its time.

### **UDQ Operator**

This is a separate unit from the EAMS Help Desk. Our UDQ operators are stationed throughout multiple District Offices.

Jackie McConnie is the supervisor of the e-form trial UDQ. You may reach her by email: [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) – you must put her name in the subject line. They do their best to process the batches in the UDQ as quickly as possible. Do note though, that we do not receive the UDQ report until 4:00 p.m. each day so for example, batches from Monday may not be addressed by them until late Tuesday or Wednesday, etc.

#### **After Submission, You Realized You:**

##### **MADE A MISTAKE IN YOUR E-FORM OR ENTERED THE WRONG CASE NUMBER:**

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 typed in a non-existent case number, it will end up in the UDQ. You will receive an email from the UDQ operator. If the number was incorrect for your case, but is an existing case, or the mistake was not such that the batch would err to the UDQ, then it will actually process though to the case and it will not show up in the UDQ. In this situation, you would email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with Jackie McConnie in the subject line with the errant case number, the injured worker’s name, the EAMS Doc ID number of the document you filed, and the type of document filed so they can either move the document to the correct case or delete it.

If you realize you made a mistake in filing, do **not** re-file – email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) with Jackie McConnie in the subject line as set forth above.

##### **FORGOT AN ATTACHMENT**

If you filed an e-form and after you submitted, realized you forgot an attachment, 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 you file the errant attachment as an unstructured e-form, you must first verify that the original document successfully processed into the case. If you filed a case opening e-form and forgot an attachment, wait until you receive the case number and then file the errant attachment.

If you file an Application and you get an email back from the UDQ operator that a case already exists for the injured worker with the DOB and/or DOI in the Application, please 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 you do not understand it, email them back. Do not email the EAMS Help Desk about it and do not copy the EAMS Help Desk with your email to the UDQ operator.

If you receive an email from the UDQ operator that your batch has been “Reprocessed” this means that the error was fixed and the batch re-submitted out of the UDQ for processing. Do not re-file.

## **VII. TIPS AND TRICKS**

### **Batch ID Management**

You should 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 your 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#. To make it easier to locate, we recommend that you prepare an Excel sheet with the first column listing the Batch ID number; the second the injured worker's name; the third the SSN; the fourth, the EAMS case number and the fifth, the type of document submitted. This way you can track each Batch, verify the document(s) are in the case and have a reference sheet for both EAMS and by SSN that you can sort and search. To keep it manageable, you can delete each entry when you have verified that the document(s) is in the case. We do not have the time to list any or all of your documents that were in the batch that we had to delete from the UDQ. Do not email us asking what they were. It is your responsibility to keep track of what you are filing.

If you have to file your Batch ID page to establish the original filing date, please put the injured worker's name and the Case Number on it. If it ends up in the UDQ, we have no idea what case it belongs to. Use ADJ – MISC – CORRESPONDENCE-OTHER.

### **Form Preparation Efficiency**

If you are not sure or have an issue/question when you are filling out a form, **STOP!** Close it out, discuss it with your administrators and if not resolved, request they email the EAMS Help Desk. Do not just wait for their response; move on to another form/case/document/task. When you get the response from the EAMS Help Desk, go back and do the form right, the first time.

### **General**

Download (copy) the e-form Reference Guide to your desktop. That way, it is always readily available. Remember, 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 your staff use these when compiling what information and/or documents they need in electronic form before they file.

On internet explorer you can open several tabs – each tab is a separate webpage. The first one would be for the claims administrators' UAN search page, the second tab

would be for the representatives' UAN search page, the third would be the Public Information Case Search tool, and the fourth would be EAMS.

## [Organize your Trial Exhibits](#)

Create an electronic folder for each client for potential proposed trial exhibits. As a document comes in, such as a medical report, wage statement, or benefit notice, etc., after review by the appropriate examiner/attorney/representative, instruct your staff to scan the document. Give the document an easily identifiable name, e.g. Ronald Smith AME 1-5-9. This is kept only in a folder for the IW.

## [Remove Auto Update On Date In Word Documents](#)

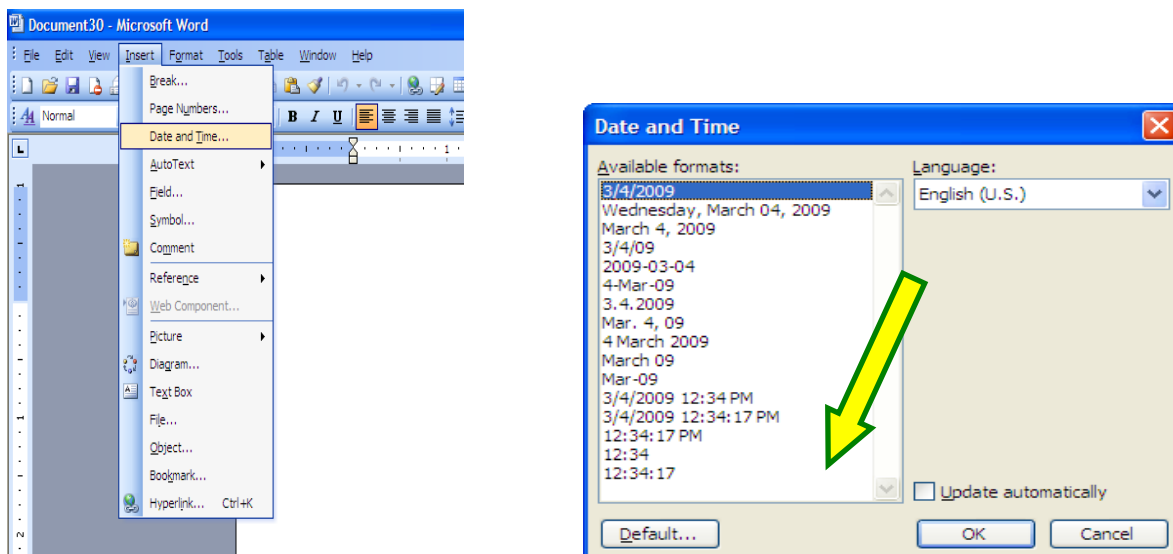
Open Word.

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"



Also, if you have a header or a footer, do not use any of the following as the date there will auto update to the date you open the document:

"Author, Page #, Date"

"Confidential, Page #, Date"

Do not click on the icon for "Insert Date"

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

The search function uses partial search functionality. You do not have to enter the entire name or even put information in all of the fields. You can even search just by zip code or the digits of the entity's address without listing anything else.

If you want the list in Excel format click on Download tab-separated files for the list (claims administrators' offices or representatives' offices) and save it to your desktop. Right click on the icon on your desktop and select "open with" then left click on Excel. After it opens, click on Format in the tool bar, select auto format and just click "OK" – do not select any of the templates. Click on File and Save as – select file type Excel and click save.

Remember, these databases are updated daily, so if you do save it to your computer, it will be out of date by the next business day.

## [User Name and Password](#)

It is best that you type in your User Name and password when logging in to EAMS. If you copy and paste, you typically end up with an extra space, usually at the end, but sometimes at the beginning of what you copy. The system sees this extra space as a "character" and will err out. Once you miss-enter your password 3 times you get locked out. So, if you do copy and paste, be sure to check for and delete those nasty extra spaces.

You can configure IE-6 and above to save the User Name and password, assuring quick and accurate logons. To set this up, in the Toolbar click on Tools, Internet Options, Content tab. In the AutoComplete section, click on Settings and check "User names and passwords on forms" and "Prompt me to save passwords." Open to your EAMS login page. The first time, you will need to carefully enter your User Name and then your password. Thereafter, when you login, click in the User Name field and start typing the first few characters of your User Name. Your User Name appears as a drop down. Click on it and your accurate User Name and password will auto-fill in the fields. Click on the Login button. This method virtually eliminates error and dramatically speeds login.

If this procedure concerns you, please carefully enter your User Name and Password each time.

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

If you see "Items found: 300" you may not be seeing all the documents in the case.

On the left side of your screen just under the Search Criteria, you will see the field "Max Results." The default setting for this is 300. Change this to 500 or even 600, then click

on the “Search” button on the right side of the page. This will now update it to include all the documents.

The best and easiest method to search for or to review documents is to change the “Show Items” field to “50.” You will now see 50 documents per page. Next, click on the column heading “Doc Entry Date” twice (has to refresh after each click). This sorts the documents to where the most recently filed are shown on page 1 with the earlier documents in reverse chronological order on the subsequent pages.

Do not click on “Hide Search Criteria” at the top until you have done all these steps.

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

In addition to using the built-in Daeja Pro Viewer, you may also view documents in FileNet as follows.

To view the documents that are in TIFF format in the case, please follow these steps to set up your computer: (takes less than a minute to do this)

- 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 out the program – click on the X in the upper right

This opens the TIFF documents in MS Document Imaging – the page is on the right and thumbnail images of all the pages on the left. You can click on the thumbnail to go to a specific page or can scroll through the document.

Now, when you go to FileNet, you RIGHT click on the document name (the one in the Title column). Then, click on DOWNLOAD.

You will be asked if you want to Open or Save. Select OPEN

**NOTE:** For some reason, your computer will stop having this as a default to open TIFF files and you will merely have to repeat the steps above. You will know that it changed when the dialog box has “Find” instead of “Open.”

To do a word search on a TIFF document, click on the binoculars in the tool bar. You will be asked if you want the software to perform OCR. Click YES. Then you will be able to 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 Word and PDF documents – just right click on the document name, and select Open. These will open in Word and Adobe Acrobat respectively.

## **VIII. TROUBLE SHOOTING**

### **REPORTING A PROBLEM**

If you are having a problem with your login/EAMS/FileNet, please email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV). Be sure to detail the issue. Attach screenshots of the problem and/or error message.

### **CANNOT LOG IN**

If have not already done so, please take a screen shot of any error message, paste it in a Word document and attach that to an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV)

Please click on the link below. If it does not open in your IE browser, copy and paste it into your browser address field at the top and either click on the double arrow at the right end of the address field or press enter. You will get something similar to:

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 this in the body of your reply email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV)

Here is the link: <https://eamsdm.dwc.ca.gov/>

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

If have not already done so, please take a screen shot of any error message, paste it in a Word document and attach that to an email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV)

Please click on the link below. If it does not open in your IE browser, copy and paste it into your browser address field at the top and either click on the double arrow at the right end of the address field or press enter. You will get something similar to:

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 this in the body of your reply email to [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV)

Here is the link: <https://eamsdm.dwc.ca.gov/>

**PROBLEM RESOLVED**

If you report a problem and it resolves, please, email [EFORMS@DIR.CA.GOV](mailto:EFORMS@DIR.CA.GOV) that it is resolved. Otherwise, we do continue to investigate to see if there is an issue on our end.

## **IX. APPENDIX**

### A. 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. For all others, or if you have a question, go to this site: <http://zip4.usps.com/zip4/welcome.jsp>

Remember, we 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.

B. Do not Highlight on OCR form

File Edit View Document Tools Window Help

8 / 9 85.7% Find

**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)

C. 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		
	Related Cases		
FileNet			
<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		

## D. External Request for Action Screen

**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:	4/28/2009

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.

**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.

## E. Website Links and Email Addresses

### **LINKS**

Main EAMS page

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

E-form Trial 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)

Public Information Case Search Tool

<https://eams.dwc.ca.gov/WebEnhancement/>

EAMS Case Number Look up Tool

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

Self-insured Employer List

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

### **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)

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)