

Slide 1 – OCR forms tutorial

Welcome to this quick ten minutes video on optical character recognition or OCR forms. The Division of Workers' Compensation court related forms are now filed using the Electronic Adjudication Management Systems or EAMS. You may file electronically or by OCR paper form. Visit our website at www.dwc.ca.gov/EAMS to help determine the best filing method for you.

If you decide that you will file by OCR paper forms, this tutorial will show you how to file successfully.

Slide 2 - Agenda

In this video, we will discuss uniform assigned names, case numbers, document cover sheet, document separator sheet, how to file successfully and OCR form rules. Visit our website for sample OCR packets.

Slide 3 – Uniform Assigned Names transition slide

One of the key concepts is the Uniform Assigned Names or UAN.

Slide 4 – Uniform Assigned Names (UAN)

In order to file in EAMS, claims administrators' offices and representatives' offices must have a UAN. The purpose of one is to ensure case parties and documents are accurately associated to the correct electronic adjudication file. Anyone listing a claims administrator or representative on a form must use that firm's UAN.

Let's take a look at what a claims administrator mean. It is a self administered insurer, a self administered self-insured employer, a self-administered joint powers authority or a third party administrator.

Representative is a sole practice attorney, law firm or non-attorney representative. Their UAN will always go in the "Law Firm Name" field.

UAN is a combination of name and location.

The DWC assigns UAN and maintains a database, which is updated on a regular basis and posted online (at www.dwc.ca.gov/EAMS). Since the majority of claims administrators' and representatives' offices have been assigned UAN, let's go through the step-by-step process of how to search for one. We will discuss how to register for a UAN later in this presentation.

Slide 5 – Screen shot of EAMS webpage at <http://www.dwc.ca.gov/EAMS>
To find the proper UAN, search the online database. Within the “working in EAMS” section, click on the uniform assigned names database for claims administrators’ offices and representatives’ offices.

Slide 6 – Screen shot of UAN search webpage at
http://www.dir.ca.gov/DWC/EAMS/EAMS-LC/EAMS_ClaimsAdmins_Reps.htm
Choose either claims administrators’ offices OR representatives’ offices.

Slide 7 – UAN search criteria

Here is an example of how to search for claims administrators’ office. The search criteria and tips we are about to discuss also apply to the representatives’ office search.

You may search by name, address, city, state or ZIP code. The search tool allows for partial word match, so use small search terms of about three characters in any search field. This will help avoid typing or spelling errors that could cause incorrect results. Search terms are not case sensitive and there are no special characters, such as apostrophes or hyphens. In segmented names like “Mac Donald”, the blank space between Mac and Donald has been removed. Please note that the UAN in the EAMS database is the one you must use. We recommend you copy and paste the UAN directly from the database.

Let’s take a look at the tip in the box. On unstructured document, such as legal pleading, put EAMS reference number and the UAN of attorney or claims administrator’s office in the heading in the upper left corner.

Slide 8 – Registration for UAN

If you are a claims administrator or representative and do not have a UAN, you must register for one with the Central Registration Unit or CRU. Registration requests are submitted on letterhead with an authorized signature by e-mail (to cru@dir.ca.gov) or fax (to 1-888-822-9309). Please include name, location, mailing address, telephone, fax, email address and preferred method of service. Changes to this information must be sent to the CRU in the same manner, within five business days. The new assigned name or information will be posted online within 10 business days.

Slide 9 – Case number transition slide

Another key concept is the case number. All cases have an EAMS assigned case number.

Slide 10 – Case number

EAMS case number is not the same set of numbers as the legacy case number. Every legacy case number has a corresponding EAMS case number. We have a case number lookup tool on our website (at <http://www.dir.ca.gov/dwc/eams/eams-lc/EAMSCases.asp>). Keep in mind that you must use the EAMS case number on OCR forms. Do not just add the EAMS alpha prefix to the legacy case number.

Don't insert spaces between the letters and the numbers. EAMS case numbers always begin with a number. When you are using a legacy case number in the search field, then put a zero in between the letters and the numbers.

Slide 11 – Document cover sheets transition slide

Now that we've finished discussing case number, let's move onto the document cover sheet.

Slide 12 – OCR document cover sheets

Every OCR packet must have at least three things for submission. They are the document cover sheet, the document separator sheet and the form or document being filed, such as the application for adjudication of claim. Document cover sheet is the first document in every OCR form packet. Select the appropriate product delivery unit on the cover sheet.

(This portion appears on the slide, but not narrated. Product delivery units are ADJ, DEU, RSU, SIF and UEF. Print and submit only the pages that you completed with information. Don't submit blank page(s) or pages 7 and 8.)

(Return to voice narration.) Keep in mind that you must file a case opening document for each unit and wait for EAMS to assign a case number. Don't assume that a case is opened in any other unit than the one in which you filed the case opening document.

Slide 13– OCR document cover sheets (continued)

On page 1 of the document cover sheet, make the appropriate selection for new case, companion cases and walkthrough.

When filing a new case, provide all requested information. However, if filing an existing case, enter the date that you are filing the document cover sheet and only the correct EAMS case number. No other information is needed. Please note that date of injury or body part code is not needed, unless you are filing an amended application.

If there are companion cases, enter all companion case numbers. You may input up to 15 companion case numbers on the document cover sheet.

A tip for document cover sheet is always include one when filing documents with the Workers' Compensation Appeals Board.

Slide 14 – Document separator sheets transition slide

Document separator sheets follow the document cover sheet.

Slide 15 – OCR document separator sheets

The one page form separates and identifies documents being filed. It also tells EAMS what document is being submitted and the product delivery unit it goes in.

(This portion appears on the slide, but not narrated. It would also go between the document cover sheet and the next documenter whether or not it is an OCR form. Example: a document separator sheet goes between each doctor's report being submitted.)

(Return to voice narration.) The product delivery unit on the document separator sheet must match the product delivery unit on the cover sheet.

Slide 16 – OCR document separator sheets (continued)

Use the appropriate product delivery unit, such as ADJ, document type, for example, LEGAL DOCS and document title, PROOF OF SERVICE.

(This portion appears on the slide, but not narrated. Select the appropriate document titles from the drop down menu)

(Return to voice narration.) Download the document title list for easy reference from our website (at http://www.dir.ca.gov/dwc/EAMS/EAMS_OCRFilers.html). Use the appropriate document type and titles from the list. Don't make one up.

A tip for when you can't find one that applies, use product delivery unit ADJ – document type MISC – document title CORRESPONDENCE –OTHER.

Slide 17 – Example of document separator sheet

Use the UAN in the author line, when the document following the separator sheet is authored by a claims administrator's office or representative's office.

In this example of a document separator sheet, the filing party is a law firm. UAN is entered in as the author. Make sure you use the UAN from the website.

Slide 18 – Example of document separator sheet

When the author of a document is not a claims administrator or representative's office, for example, it may be a doctor, then list the name of the person who authored the document in the author field.

Here are few exceptions. For subpoenaed record, list the entity from which it was subpoenaed. In some cases, it may be a facility. For venue authorization, put name of injured worker as the author. No punctuation or special characters, please.

Slide 19 – How to file successfully transition slide

Now that we've gone over the essential elements of OCR form packet, here is some information that will help you file successfully.

Slide 20 – How to file successfully

First and foremost, gather all information before filing. Be sure to follow the format to fill in the date. It is a two-digit month, two-digit date and four-digit year. All documents must be flat, never folded, no staples, no paperclips, no tears, no sticky notes, no two-hole punches or extraneous marks. Put the entire packet in a 9 by 12 envelope or larger if mailing to a district office. It's important to follow these tips because failure to do so will result in delays.

Some additional tips are don't file the same document multiple times and don't file cover letters. They are not needed.

Slide 21 – OCR form filing rules transition slide

Let's discuss a few rules that will help ensure you file successfully.

Slide 22 – OCR form filing rules

The forms must be first generation. Documents must be single sided with black ink on white paper that's 8 1/2 x 11, and 12 pounds or heavier. Use serif font without any text in the margins. Keep document under 25 pages.

OCR forms will be scanned into EAMS, so all these tips and rules help ensure that the completed forms are successfully inputted into EAMS.

Slide 23 - Conclusion

This concludes the tutorial. We look forward to your successful OCR filings.