



- Notice of Representation
  - Substitution of Attorney
  - Change of Handling Location Requests
  - Change of Claims Administrator Requests
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## About the processes

DWC has modified the processes for assistance with Notice of Representation filings (NOR), Substitution of Attorney filings (SOA), Change of Handling Location Notices (COL), and Change of Claims Administrator Notices (CCA) for electronic filers waiting for updates to be made in ADJ cases in EAMS.

Our IT Department has created a software tool to automatically process these requests when submitted via specifically formatted Excel spreadsheets. The E-File Reference Guide is being updated to require these requests be submitted via email, with an attached spreadsheet. To reduce processing resources and improve turnaround time for you, effective immediately we will require the spreadsheets to be used when asking EAMS Help Desk for assistance for processing.

## Overview of the Process

For your convenience, four spreadsheets, respectively titled Notice of Representation-NOR, Substitution of Attorney-SOA, Change of Location-COL, and Change of Claims Administrator-CCA, are attached to these instructions.

Enter NORs on the NOR spreadsheet, SOAs on the SOA spreadsheet, COLs on the COL spreadsheet, and CCAs on the CCA spreadsheet. Save your spreadsheets as document type "Excel 97-2003 Workbook."

Only one spreadsheet of each type may be submitted to DWC on any given day. Rather than submit one NOR spreadsheet with a single entry multiple times per day, for example, enter all of your NORs for the day on a single NOR spreadsheet, then submit that spreadsheet. If you have multiple office locations, each office may make submissions (i.e. both the San Francisco and Los Angeles offices may submit a CCA on the same day), but each individual office should only submit once (i.e., if Jake Smith and Judith Jones both submit COLs from the Los Angeles office on the same day, we will count those as multiple submissions).

Spreadsheets are to be submitted via email as an attachment. Only spreadsheets in Excel format can be processed; submissions sent as text documents, screenshots,

pdfs, or typed into the body of an email will be returned with instructions to re-submit in spreadsheet form. Send your NOR and SOA spreadsheets to [EAMSNOR@dir.ca.gov](mailto:EAMSNOR@dir.ca.gov), and your COL and CCA spreadsheets to [CRU@dir.ca.gov](mailto:CRU@dir.ca.gov).

Your spreadsheet will be uploaded using the automated processing tool. The tool will add an additional column that reports, row by row, if that row was successfully processed or if it generated an error. The processed spreadsheet, with processing notes, will be emailed back to you. Please verify your results. Any failed rows can be corrected, if necessary, and resubmitted for reprocessing on the next day's spreadsheet.

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See **Glossary: Terms You Need to Know to Use the Spreadsheet** on pages 6 and 7 of this document for helpful tips before entering data in the spreadsheet.

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## Filling in the Forms

Because these spreadsheets are processed automatically, it's important that the information you input is complete and properly formatted. Incomplete or improperly formatted entries cannot be processed and will generate an error.

The **Notice of Representation-NOR** spreadsheet has seven columns:

1. INJURED WORKER First Name
2. INJURED WORKER Last Name
3. ADJ Case Number
4. New UAN
5. New ERN
6. OFFICE/AGENCY TYPE
7. TYPE OF REPRESENTATION

The **Change of Claims Administrator-COA**, **Change of Location-COL**, and **Substitution of Attorney-SOA** spreadsheets each have nine columns:

1. INJURED WORKER First Name
2. INJURED WORKER Last Name
3. ADJ Case Number
4. Old UAN
5. Old ERN
6. New UAN
7. New ERN
8. OFFICE/AGENCY TYPE
9. TYPE OF REPRESENTATION

Each row of these spreadsheets represents one addition or change to one case. When filling in a row, type all letters in UPPER CASE. Names and numbers must be entered exactly as they appear in EAMS; any variation, including extra spaces, will cause an error and the entry on that row will not be processed.

**To avoid processing errors:**

- Enter all letters in UPPER CASE.
- Do not enter punctuation of any kind.
- Enter the injured worker’s first and last name *exactly as they appear in the case record*. (Current case participants can view this information in EAMS. Anyone may view this information using the [DWC website’s Public Information Search Tool](#).)
- Enter all UANs and ERNs *exactly as they appear in the UAN database or EAMS*.
- Make sure that there are no extra spaces at the end of the data in any cell; trailing spaces will prevent successful processing and return an error for that entry.
- **All cells must be filled in for each entry.** Rows which contain blank cells will either be skipped and not be processed, or will return an error.

IMPORTANT: If you are unable to find a key piece of information (for example, the ERN of a firm that has been closed) and must leave a cell blank, please note the missing information in the body of your email.

**Examples of Successful and Unsuccessful Submissions**

Column added by software tool showing processing results for each row.

A successfully processed NOR for a Representative for the Applicant:

	A	B	C	D	E	F	G	H	I	J	K
	Injured Workers First Name	Injured Workers Last Name	ADJ Case Number <i>One per Cell</i>	New UAN	New ERN #	OFFICE/AGENCY TYPE R for Legal/Non-legal Representative CA for Claims Admin	TYPE OF REPRESENTATION D for Defendant A for Applicant				
1											
2	JOAN	EVERETT	ADJ10898733	ADAMS THOMAS SACRAMENTO	11992916	R	A				Process Time:1 Seconds
3	JESUS	GARCIA	ADJ11657540	ADAMS THOMAS SACRAMENTO	11992916	R	A				Processed
4	BILL	CALLAGHAN	ADJ11095285	ADAMS THOMAS SACRAMENTO	11992916	R	A				Processed
5	BILL	CALLAGHAN	ADJ10269599	ADAMS THOMAS SACRAMENTO	11992916	R	A				Processed

A successfully processed SOA for a Representative for the Defense:

	A	B	C	D	E	F	G	H	I	J	K	L	M
	Injured Workers First Name	Injured Workers Last Name	ADJ Case Number <i>One per Cell</i>	Old UAN	Old ERN #	New UAN	New ERN #	OFFICE/AGENCY TYPE R for Legal/Non-legal Representative CA for Claims Admin	TYPE OF REPRESENTATION D for Defendant A for Applicant				
1													
2	JOANNE	MILLER	ADJ10116598	MARTINSON ASSOCIATES REDDING	9371965	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D				Process Time:1 Seconds
3	JOANNE	MILLER	ADJ10627178	MARTINSON ASSOCIATES REDDING	9371965	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D				Processed
4	JOANNE	MILLER	ADJ11072868	MARTINSON ASSOCIATES REDDING	9371965	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D				Processed

A successfully processed COL for a Claims Administrator:

A	B	C	D	E	F	G	H	I	J	K	L	M
Injured Workers First Name	Injured Workers Last Name	ADI Case Number <i>One per Cell</i>	Old UAN	Old ERN #	New UAN	New ERN #	OFFICE/AGENCY TYPE R for Legal/Non-legal Representative CA for Claims Admin	TYPE OF REPRESENTATION D for Defendant A for Applicant				
TOMAS	RODRIGUEZ	ADJ11983255	WESTPRO SAN DIEGO	10568802	WESTPRO SAN FRANCISCO	9603827	CA	D				Process Time:1 Seconds
JOANNE	MILLER	ADJ10116598	WESTPRO SAN FRANCISCO	9603827	WESTPRO LOS ANGELES	11314159	CA	D				Processed
JOANNE	MILLER	ADJ10627178	WESTPRO SAN FRANCISCO	9603827	WESTPRO LOS ANGELES	11314159	CA	D				Processed
JOANNE	MILLER	ADJ11072868	WESTPRO SAN FRANCISCO	9603827	WESTPRO LOS ANGELES	11314159	CA	D				Processed
DIANA	HALLOWAY	ADJ10753026	WESTPRO LOS ANGELES	11314159	WESTPRO SAN DIEGO	10568802	CA	D				Processed

Note that Claims Administrators are always CA and D

A successfully processed CCA for a Claims Administrator:

A	B	C	D	E	F	G	H	I	J	K	L	M
Injured Workers First Name	Injured Workers Last Name	ADI Case Number <i>One per Cell</i>	Old UAN	Old ERN #	New UAN	New ERN #	OFFICE/AGENCY TYPE R for Legal/Non-legal Representative CA for Claims Admin	TYPE OF REPRESENTATION D for Defendant A for Applicant				
TOMAS	RODRIGUEZ	ADJ11983255	ALICE HARPER LOS ANGELES	9603827	CLAIMSTAR LOST ANGELES	11314159	CA	D				Process Time:1 Seconds
ROBERTO	VEGA	ADJ10240006	ALICE HARPER LOS ANGELES	9603827	CLAIMSTAR LOST ANGELES	11314159	CA	D				Processed
KATHY	LEVIN	ADJ10807873	ALICE HARPER LOS ANGELES	9603827	CLAIMSTAR LOST ANGELES	11314159	CA	D				Processed
TOMAS	RODRIGUEZ	ADJ11994402	ALICE HARPER LOS ANGELES	9603827	CLAIMSTAR LOST ANGELES	11314159	CA	D				Processed

A submission with **unsuccessful rows and error messages:**

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
Injured Workers First Name	Injured Workers Last Name	ADI Case Number <i>One per Cell</i>	Old UAN	Old ERN #	New UAN	New ERN #	OFFICE/AGENCY TYPE R for Legal/Non-legal Representative CA for Claims Admin	TYPE OF REPRESENTATION D for Defendant A for Applicant						
GARY	GILBERT	ADJ10140760	WILLIAMS FIGUEROA FRESNO	11889146	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D						Process Time:1 Seconds
	MARTINEZ	ADJ11850497	WILLIAMS FIGUEROA FRESNO	11889146	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D						Case ADJ8013569 not found.
TOMAS	RODRIGUEZ	ADJ11983255	WILLIAMS FIGUEROA FRESNO	11889146	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D						The injured worker name does not match.
MICHAEL	ABRAMS	ADJ11591498	WILLIAMS FIGUEROA FRESNO	11889146	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D						Invalid Type of Representation:
MICHAEL	ABRAMS	ADJ11998143	WILLIAMS FIGUEROA FRESNO	11889146	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D						Processed
MICHAEL	ABRAMS	ADJ11998143	WILLIAMS FIGUEROA SANTA ROSA	9945991	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D						Old ERN[9282105 ] not found.
BOB	EVERETT DECEASED	ADJ10898733	WILLIAMS FIGUEROA REDDING	10461454	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	R	D						Old ERN does not match old UAN.
MICHAEL	ABRAMS	ADJ11998143	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	WILLIAMS FIGUEROA FRESNO	11889146	R	D						Processed
DIANA	HALLOWAY	ADJ10753026	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	WILLIAMS FIGUEROA SANTA ROSA	9945991	R	D						New ERN[9282105 ] not found.
JOANNE	MILLER	ADJ10116598	WILLIAMS FIGUEROA SAN FRANCISCO	11148719	WILLIAMS FIGUEROA REDDING	10461454	R	D						New ERN[11148719] does not match new UAN.

G	H	I	J	K	L	M	N	O
New ERN #	OFFICE/AGENCY TYPE R for Legal/Non-legal Representative CA for Claims Admin	TYPE OF REPRESENTATION D for Defendant A for Applicant						
								Process Time:1 Seconds
11148719	R	D						Case ADJ8013569 not found.
11148719	R	D						The injured worker name does not match.
11148719	R							Invalid Type of Representation:
11148719	R	D						Processed
11148719	R	D						Processed
11148719	R	D						Old ERN[9282105 ] not found.
11148719	R	D						Old ERN does not match old UAN.
11889146	R	D						Processed
9945991	R	D						New ERN[9282105 ] not found.
10461454	R	D						New ERN[11148719] does not match new UAN.

To prevent or fix the above errors:

1. Case not found.

*Verify that the case exists and that the number has been entered exactly as it appears in the case record. If so, check for trailing spaces after the case number.*

2. The injured worker name does not match.

*Verify that the injured worker name listed is the correct one for the case number, that both first and last name fields were completed, and that both first and last names were entered exactly as they appear in the case record. If so, check for trailing spaces after both names.*

3. Invalid Type of Representation.

*Make sure that you have indicated both the Office/Agency Type (R for Legal/Non-legal Representative or CA for Claims Administrator), and the Type of Representation (D for Defendant or A for Applicant). If so, check for trailing spaces.*

4. Old ERN does not exist.

*Verify that the old ERN has been entered exactly as it appears in the UAN database. If so, check for trailing spaces.*

5. Old ERN does not match old UAN.

*Verify that the old ERN is the ERN corresponding to the old UAN, and that the old UAN has been entered exactly as it appears in the UAN database. If so, check for trailing spaces.*

6. New ERN not found.

*Verify that the new ERN has been entered exactly as it appears in the UAN database. If so, check for trailing spaces.*

7. New ERN does not match new UAN.

*Verify that the new ERN is the correct ERN for the new UAN, and that the new UAN has been entered exactly as it appears in the UAN database. If so, check for trailing spaces after the new UAN.*

## Glossary: Terms You Need to Know to Use the Spreadsheet

### Change of Claims Administrator-CCA Spreadsheet

This spreadsheet is used when changing from one claims administration company to a completely different company.

*Note: To move the case from one office location to another office location within the same company, use the Change of Location spreadsheet.*

### Change of Location-COL Spreadsheet

This spreadsheet is used when moving the case from one office location to another office location within the same company.

*Note: If the move is from one law firm to another, use the Substitution of Attorney-SOA spreadsheet. If the move is from one claims administration company to a different claims administration company, use the Change of Claims Administrator-CCA spreadsheet.*

### EAMS Reference Number (ERN)

This is a unique number assigned by EAMS to each registered case participant. It is always numeric. ERNs for representatives and claims administrators can be found in the UAN database.

### Notice of Representation-NOR Spreadsheet

This spreadsheet is to be used when a law firm or representative needs to be added to the case participants list in EAMS.

*Note: The party who is represented by the law firm or representative must first be on the case. For example, the lien claimant must be a case participant before their lien representative's NOR can be processed.*

### Office/Agency Type

Legal representatives are always type "Representative." Enter R in the spreadsheet column named **OFFICE/AGENCY TYPE**.

Non-legal representatives—those who are authorized to appear in court and/or negotiate liens on behalf of another—are also type "Representative." Enter R in the spreadsheet.

Claims administrators are type "Claims Administrator." Enter CA in the spreadsheet.

## Public Information Search Tool

The [DWC Workers' Compensation Court Public Information Search Tool](#) is an online database. The information displayed in this database is pulled from EAMS, so the names shown here will exactly match the EAMS case record.

## Representation, Type of

Who do you represent in the case – an Applicant or a Defendant? Enter A (for Applicant) or D (for Defendant) in the spreadsheet column named **TYPE OF REPRESENTATION**.

*Note: Claims administrators are always Defendant on these spreadsheets. Representatives can be either Applicant or Defendant.*

## Substitution of Attorney-SOA Spreadsheet

This spreadsheet is to be used when there is a change of attorney. It is not to be used for Dismissal of Attorney, Notice of Representation, or Change of Location for a law firm.

## Uniform Assigned Name (UAN)

This is a unique name created and assigned for representatives, claims administrators, and lien claimant organizations by the DWC Central Registration Unit (CRU). UANs can be found in the UAN database.

## UAN Database

The CRU maintains an online list of uniform names and addresses of claims administrators' offices, representatives' offices, and lien claimant organizations. UANs are listed in one of three online databases. When entering UANs into the various spreadsheets, the information must exactly match the format appearing in the databases. There are separate databases for [Claims Administrators](#), [Lien Claimants](#), and [Representatives](#); links to all three can be found at [the DWC page for Claims Administrators' Offices, Representatives' Offices and Lien Claimants](#)