



E-Filer Guide to Using Notice of Representation, Substitution of Attorney, Change of Handling Location Notices, and Change of Claims Administrator Notices Spreadsheets

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 as noted below 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 for assistance for processing. Requests for assistance should be made directly to the respective district office if it has been more than ten days past the initial filing date.

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 the email address provided by the respective district office, and your COL and CCA spreadsheets to CRU@dir.ca.gov if it has been more than ten days past the initial filing date.

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.

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.

Filling in the Forms

Because these spreadsheets are processed automatically, it is 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 that contain blank cells either will 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.

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

Whom 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](#).