



**EAMS**

Electronic Adjudication  
Management System

**ELECTRONIC ADJUDICATION  
MANAGEMENT SYSTEM  
(EAMS)**

**HANDBOOK / INSTRUCTIONAL MANUAL**

**for**

**OPTICAL CHARACTER RECOGNITION  
(OCR) FORM FILERS**

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## I. GENERAL INFORMATION FOR ALL PAPER (OCR) FILERS

As of Aug. 25, 2008, the Division of Workers' Compensation/Workers' Compensation Appeals Board and each of its district offices began using the Electronic Adjudication Management System (EAMS) to manage case files, data and hearings. During the [initial implementation period](#), EAMS external users will be able to file documents with the district offices in one of two ways: via Web-based, electronic forms (e-forms), or new paper forms (optical character recognition or "OCR" forms). Filing via e-forms requires a log-on and password. Filing OCR forms requires use of the forms available on the DWC Web site, at the district offices, or forms that have been designed to work in case management systems to auto-populate, and which have been tested for EAMS compatibility at the DWC forms testing lab. The DWC EAMS Web site at [www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams) contains a wealth of information about EAMS. This handbook pertains specifically to OCR form filing.

Data contained on an OCR form is read by EAMS when the document is scanned into the system. The data automatically populates portions of the EAMS case file, reducing human processing time. The data also triggers workflows, promoting expeditious setting of hearings and decisions on pending cases.

Regulations requiring use of OCR forms became effective Nov. 17, 2008. Following the transition period, which ended Dec. 12, 2008, filing using OCR forms became mandatory, unless the document is filed as part of [DWC's e-forms trial](#)

**WHERE TO FIND THE OCR FORMS:** The final version of the OCR forms is available on the DWC Web site at [www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams) and at the local DWC district offices.

Additionally, many forms developers have been working with the DWC to ensure forms they create to seamlessly auto-populate in case management systems will also integrate seamlessly into EAMS. DWC recommends you check with your forms developer to ensure they have tested their forms for EAMS compatibility at the [DWC forms testing lab](#).

**FILLING OUT OCR FORMS:** You may fill out OCR forms on the DWC Web site and print completed forms for submission. You may also print

the OCR forms from the Web site and fill them out using a typewriter. Again, if you use a case management system to auto-populate and print forms, you will want to be sure your developer has tested its forms for EAMS compatibility.

If you are an injured worker without an attorney, or an unrepresented uninsured employer, you may fill out the OCR forms using neat block printing, or you may contact the [DWC information and assistance officer](#) at your nearest district office, who will guide you through the process.

**ORIGINAL FORMS MUST BE USED:** While you may copy the form you print from the DWC Web site or obtain from the district office, you must submit the original form or a first generation copy because copies of copies cannot be read by DWC's scanners. Also, when filing documents, do not two-hole punch, fold, spindle or otherwise distort documents as the scanners will not read the documents and information will have to be manually corrected at the district offices.

**BAR CODES:** Bar codes on documents submitted to EAMS do not constitute a problem and will not interfere with scanning unless they are placed on DWC OCR forms in the same location as the DWC bar code. If a form or document is submitted with a bar code that is placed in another location, such as along the side of the document, that bar code will not be a problem.

**SETTING UP A FILE FOR SUBMISSION:** An EAMS OCR file consists of the new [OCR forms](#), new [cover sheets](#) and [document separator sheets](#) and supporting documentation, such as medical reports. The cover sheet will be the first page of any submission filed at one time in the same case. Information captured from the cover sheet in the scanning process is used to populate an existing EAMS case file, or to tell EAMS to open a new case file.

If a form comes with several attachments, an EAMS document separator sheet must be placed on top of the form and on top of each attachment. The document separator sheet is used to index the documents within the case file. Each exhibit to be offered in evidence at trial should be filed as a separate document.

For instance, if a party files a DOR with a report from Dr. Smith, the file would be constructed as follows:

1. An EAMS cover sheet and document separator sheet are placed on top of the DOR
  - ➔ Remember, the cover sheet is used to populate the EAMS case file and the document separator sheet tells EAMS where, within the case file, to put the document that follows it. Therefore, a cover sheet **and** a document separator sheet are needed before the DOR form
2. Another document separator sheet is used between the DOR and Dr. Smith's medical report.

Think of the cover sheet and document separator sheets in this way: The cover sheet tells EAMS to open a case file, either new or existing. The document separator sheet is an opening page containing descriptive information (meta-data) for the document following it, which tells EAMS where in the case file to place that document and how it is "labeled." This means the separator sheet tells EAMS which unit the following document belongs in, the type of document it is and the title of the document. When using the document separator sheet, be aware that each unit comes with a specific set of document types that can be selected, and each of those document types within the unit allows you to select only the specific document titles under that type. The document separator sheet posted on the Web site comes with a list of document types and titles that correspond to each unit. Additionally, the DWC has posted the document titles in a [user-friendly Excel format](#).

Using the same example of submitting a DOR with a report from Dr. Smith, when filling in the separator sheet that precedes the DOR, you would select ADJ under the "Product Delivery Unit" drop down menu, then LEGAL DOCS under "Document Type" and DECLARATION OF READINESS TO PROCEED under "Document Title." Document date is the date the document following the separator sheet was authored. Document author: Here, if the person signing the form is a claims administrator or representative, you will use the uniform assigned name of the representative or claims administrator office. If the form that follows the separator sheet was not authored by a claims administrator or representative, use the name of the individual. For example, in the case of a medical report, the name of the medical practitioner who authored the report goes in the "author" field.

When filling in the separator sheet for the medical report you are filing with the DOR, you would select ADJ under the “Product Delivery Unit” drop down menu, then MEDICAL DOCS under “Document Type” and choose the correct document title from the drop down menu. Document date is the date the document following the separator sheet was authored. In the case of the medical report, the author is the medical practitioner who wrote the report.

**UNIFORM ASSIGNED NAMES:** Forms filed in EAMS automatically create new workers’ compensation case files or open existing case files. Part of this automated process involves associating the related parties to their cases. To ensure that parties are properly associated to cases in EAMS, a uniform naming convention was created for claims administrators and representatives.

Claims administrators are insurance carriers who self-administer claims, third party administrators, and self-insured self-administered employers. Representatives are attorney and non-attorney representatives.

Uniform names for claims administrators’ offices and representatives’ offices are assigned by the DWC.

If you work in a claims administrator or representative office, you need to use your office’s uniform assigned name, as well as the uniform assigned name of any other claims administrators or representatives you are naming, on the forms you file.

All parties, including injured workers, claims administrators, attorneys, lien claimants and others, need to use the uniform assigned name of any claims administrators or representatives they are naming on a form.

The other case parties do not currently have uniform assigned names.

Find the uniform assigned names database and detailed instructions for its use at [www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams).

You can look up names on line or download them from the Web site. Be aware that the database is frequently updated, so if you download the file, do so often and replace your list with the most current one. If you’d like to download the file and open it in Excel, or another format that you can use with your own programs, right-click either of the files posted next to the

designation “Download tab-separated files for claims administrators’ offices or representatives’ offices.” Save them to the desktop (or wherever you want to store them). To open in Excel or another spreadsheet format, right-click the downloaded file and choose “open with.” In this way you can sort the file alphabetically or any other way that is convenient.

If you are an attorney or claims administrator and you can’t find your firm’s assigned name, or the assigned name of a firm you need to name on your form, contact the EAMS Help Desk at [EAMSHelpDesk@dir.ca.gov](mailto:EAMSHelpDesk@dir.ca.gov) or (888) 771-3267 (888-771-EAMS), option 4.

If your firm or the claims administrator or representative’s office you are naming is not in the database, you or they should register now by sending a letter on letterhead, with an authorized signature, to DWC’s new Central Registration Unit: by e-mail to [cru@dir.ca.gov](mailto:cru@dir.ca.gov) or by fax to (888) 822-9309.

Again, at this time, the Central Registration Unit is only registering claims administrators’ offices and representatives’ offices, so uniform names are not required for other types of case participants.

**PROOF OF SERVICE RULE:** Where does the proof of service go in the packet when filing OCR forms? The answer depends on how many forms or documents you are listing on the same proof of service. If you are listing only one form with no attachments on the proof of service, the proof of service goes directly under the form, as though it were part of the form, without a separator sheet between the form and the proof of service. If you are filing a form with accompanying documents, and listing the form and the documents on a single proof of service, the proof of service will come at the end of the form and documents, with a document separator sheet before the proof of service.

**MATERIAL APPENDED TO SUBMISSIONS:** Some material appended to submissions, like documents appended to a medical report that support the opinions or conclusions expressed in the report, is not considered a separate document and therefore does not require a separator sheet. Another example of this is the billing statement appended to a lien: This is considered part of the lien, and therefore would not require a document separator sheet between the lien and the supporting billing statement. Such documents must be in the specified format, compatible with DWC scanners, free of holes, staples, folds, tears, tape, etc.

## **WHEN FILING ON BEHALF OF A DECEASED INJURED WORKER OR THEIR BENEFICIARY:**

In EAMS, when an injured worker is deceased, his or her name will be shown as follows:

First Name: JOHN  
Last Name: SMITH DECEASED

There are no special characters, such as hyphens, parentheses, or other. When entering the deceased injured worker's name on an OCR form, be sure to enter the name in the format shown and do not abbreviate DECEASED.

**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 OCR form filing, you need to know the product delivery unit names:

INT—Integrated Case

ADJ—Adjudication Case (court case)

VOC—Vocational Rehabilitation Unit 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

## **II. CURRENT LIST OF OCR FORMS:**

### **Court administrator forms**

- [DWC-CA form 10232.1 Document Cover Sheet](#)
- [DWC-CA form 10232.2 Document Separator Sheet](#)
- [DWC-CA form 10214\(a\) Stipulations with Request for Awards](#)
- [DWC-CA form 10214\(b\) Stipulations with Request for Awards \(Death Case\)](#)



- [DWC-CA form 10214\(c\) Compromise and Release](#)
- [DWC-CA form 10214\(d\) Compromise and Release \(Dependency Claim\)](#)
- [DWC-CA form 10214\(e\) Compromise and Release \(Third Party\)](#)
- [DWC-CA form 10245 Minutes of Hearing](#)
- [DWC-CA form 10250.1 Declaration of Readiness to Proceed](#)
- [DWC-CA form 10252.1 Declaration of Readiness to Proceed \(Expedited Trial\)](#)

### **Workers' Compensation Appeals Board forms**

- [WCAB-Application for Adjudication of Claim](#)
- [DWC/WCAB Form 6-Notice and Request for Allowance of Lien](#)
- [WCAB10-Answer to Application for Adjudication of Claim](#)
- [WCAB46-Petition to Terminate Liability for Temporary Disability Indemnity](#)

### **Disability Evaluation Unit (DEU) forms**

- [DWC-AD form100 \(DEU\) Employees Permanent Disability Questionnaire](#)
- [DWC-AD form101 \(DEU\) Request for Summary Rating Determination - of AME's or QME's Report](#)
- [DWC-AD form102 \(DEU\) Request for Summary Rating Determination - Primary Treating Physician Report](#)
- [DWC AD form 103 \(DEU\) Request for reconsideration of summary rating by the administrative director](#)
- [DWC-AD form 104 \(DEU\) Request for Consultative Rating \(RCR\)](#)

### **Retraining and Return to Work Unit (RRTW) Forms**

- [DWC-AD form 10118 \(SJDB\) Notice of Offer of Regular Work](#)
- [DWC-AD form 10120 Request for Reimbursement of Accommodation Expense](#)
- [DWC-AD form 10133.53 \(SJDB\) Notice of Offer of Modified or Alternative Work](#)
- [DWC-AD form 10133.55 \(SJDB\) Request for Dispute Resolution Before the Administrative Director](#)
- [DWC-AD form 10133.57 \(SJDB\) Supplemental Job Displacement Nontransferable Training Voucher](#)

## Uninsured Employers Benefits Trust Fund/Subsequent Injuries Benefits Trust Fund forms

- [Application for discretionary payments from the Uninsured Employers' Fund](#)
- [APPSIF-application for Subsequent Injuries Fund benefits](#)

### III. FILING DOCUMENTS WITH THE DISTRICT OFFICE AS OF AUG. 25, 2008

#### A. GENERAL OCR FILING:

1. Go to the DWC EAMS Web site at [www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams) and click on "OCR forms"
2. Fill out and print the cover sheet form
3. Fill out and print the document separator sheet
4. Be sure to use your uniform assigned name in the "author" section if you are a claims administrator or a representative
5. Select the specific OCR form you are filing (such as a DOR or C&R)
6. Fill out the selected form and print it
7. If filing an accompanying document, fill out a document separator sheet. An individual separator sheet must precede each separate accompanying document in your submission
8. If filing multiple documents and you will be listing all of those documents on a single proof of service, prepare a separator sheet to go on top of your proof of service. This will be the last item in your filing package. If you are only filing one form without accompanying documents, you don't need a separator sheet between the form and the proof of service. In other words, if you're only listing one document on your proof of service, don't use a separator sheet between the document and the proof of service
9. Mail or hand deliver your submission packet to the district office in the following order: cover sheet, separator sheet, form (such as a DOR), separator sheet, document (such as a medical report), separator sheet, other document, (such as second medical report), proof of service, etc.
10. The district office will scan properly filed forms and supporting documentation and assure your documents are assigned to appropriate staff for handling

11. Serve a copy of all documents filed with the district office on all other parties as required by regulations and the Labor Code.

**Want to see samples of files set up for submission? Click on:**

[Answer to Application for Adjudication of Claim](#)  - Oct. 8, 2008

[Application for Adjudication of Claim](#)  - Oct. 8, 2008

[Compromise and Release](#)  - Oct. 8, 2008


[Declaration of Readiness to Proceed](#)  - Oct. 8, 2008


[Declaration of Readiness to Proceed Expedited Trial](#)  - Oct. 8, 2008

[Notice and Request for Allowance of Lien](#)  - Oct. 8, 2008

[Petition to Terminate Liability for Temporary Disability Indemnity](#)  -  
Oct. 8, 2008


[Proof of Service](#)  - Oct. 8, 2008

[Request for Reimbursement of Accommodation Expense DWC-AD-10120 \(RTW\)](#)  - Oct. 8, 2008

[Request for Dispute Resolution Before the Administrative Director DWC-AD-10133.55 \(SJDB\)](#)  - Oct. 22, 2008

[Request for Consultative Rating](#)  - Oct. 8, 2008

[Request for Summary Rating Determination - PTP Report](#)  - Oct. 8, 2008

[Request for Summary Rating Determination - QME Report](#)  - Oct. 8, 2008

[Request for Dispute Resolution - RU 103](#)  - Oct. 22, 2008

[Settlement of Prospective Vocational Services - RU 122](#)  - Oct. 8, 2008

[Stipulations with Request for Award](#) - Oct. 8, 2008

[Substitution of Attorneys](#) - Oct. 8, 2008

**B. SCANNING SPECIFICATIONS FOR OCR FORMS & DOCUMENTS:** Paper forms and documents must comply with the following, contained in the [EAMS regulations](#), to be scanned into EAMS:

1. Be single-sided
2. Be in black ink on white paper
3. Use serif font (font with feet, like Times New Roman or Courier)
4. Be on 8 ½" x 11" paper
5. Be on 12-pound (or heavier) weight paper (most typical paper for copy machines is #20)
6. Not have text in the margins
7. Have the EAMS case number or legacy case number in the first page caption
8. Have the attorney's information above the caption for legal pleadings
9. Not exceed 25 pages (unless prior permission from WCALJ was obtained)
10. Be double-spaced except for captions, quotes, etc.
11. Be free from staples, sticky notes and hole punches
12. Be without folds, wrinkles or tears
13. Be first generation forms only (not copies of copies)
14. Be legible

**Note:** Inasmuch as it is possible, medical reports should also comply with the above (except the 25-page rule) to facilitate the scanning process.

**Note:** Mailed documents should be in an envelope large enough to not cause folding or wrinkling.

**Note:** Medical reports should also comply with the above (except the 25-page rule) to facilitate the scanning process.

**Note:** Original medical reports or letters should not be filed at the district offices, as documents are destroyed once scanned into EAMS. **Keep original documents in your files.**

#### **IV. HOW TO FILL OUT THE OCR COVER SHEET**

The first sheet of **every** submission to the district office is an OCR cover sheet. As with the other OCR forms, you can access the OCR cover sheet on the DWC EAMS Web site at [www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams). Click on “OCR forms” and select the cover sheet, fill it out and print it.

As with all the OCR forms filled in from the DWC Web site, the cover sheet cannot be saved to your computer after you fill it out unless you have software that allows you to do this. Be sure the cover sheet is correct before you print and exit the form.

1. The OCR cover sheet is a six-page form, which allows you to file the form and documents in up to 15 individual cases for the same injured worker, if necessary. The first page has “check the box” questions to identify whether the documents you are filing are initiating documents, (to open a new case, where there is no existing legacy file or EAMS case), whether companion cases exist, if you are filing documents you intend to walk through, which case you want to file the documents in, (such as the adjudication case or the DEU case), etc. Check all boxes that apply
2. Fill in the date the document is being prepared
3. Fill in the case number (either the EAMS number, if known, or legacy case number)
4. Fill in the type of injury (specific/cumulative trauma)
5. Fill in the date of injury. If it is a specific injury, enter the date as a two-digit month, two-digit date and four-digit year (example 03/08/2007)
6. If the injury is a cumulative trauma, enter the beginning and ending dates
7. If only one date is known for the cumulative trauma (e.g. CT to 04/04/2007), use the known date in the “end date” field. List the “start date” as one year prior to the known date. This date can later be amended by the parties when more accurate information can be provided. If all you have is “CT to 04/2007” (no specific date), the “end date” would be the last day of the month (e.g.

04/30/2007). If the CT is 04/2006 – 03/2007, put the first day of the month in the “start date” field and the last day of the month in the “end date” field (04/01/2006 – 03/31/2007).

8. Fill out the body parts from the drop down list. The cover sheet comes with a body part code list to help you determine the correct code. The body part codes are not the same as those used by the PDRS or the AMA Guides or WCIS. EAMS will not recognize those codes, so be sure to use the codes on the accompanying list
9. Check the box for the unit where the document is to be filed (See note on integrated cases and product delivery cases in section I).

**Note:** If the form and documents relate to companion cases within the same unit (all ADJ cases or all VOC cases for the same injured worker) you will need to provide that information on the cover sheet. If there are no companion cases, you are done filling out the cover sheet. If you only need to fill out the first page of the cover sheet, that’s all you need to submit.

THERE IS NO NEED TO FILL OR FILE ADDITIONAL COVER SHEET PAGES IF YOU ARE NOT SUBMITTING COMPANION CASES.

**Note:** When filing a new case, you must provide all the requested information on the cover sheet, including date of injury and body part codes.

When filling out the cover sheet for a single existing case (no companion cases are listed) all you need to fill in on the cover sheet is the case number. You do NOT have to enter the date of injury OR the body part codes.

When filling out the cover sheet for two or more existing companion cases, all you need to fill in on the cover sheet are the case numbers for all cases. You do NOT have to enter the date of injury OR the body part codes.

**Note:** If the forms or documents are to be filed in different units, such as ADJ and VOC, you need to use separate cover sheets and document separator sheets for each unit.

## V. HOW TO FILL OUT THE DOCUMENT SEPARATOR SHEET

OCR forms and supporting documents must be preceded by document separator sheets in your file submission, even if you are only filing one form or one document.

The document separator sheet is a one page document.

1. Choose the "Product Delivery Unit" into which you are filing from the drop down menu (see note in section I about product delivery cases)
2. Choose the type of document you are filing into that product delivery unit from the drop down menu. For example, you may first click ADJ under product delivery unit, then "LEGAL DOCS" under document type. Select from the available document types for the product delivery unit into which the form is to be filed (DEU forms for the DEU, vocational rehabilitation documents for VOC, etc.)
3. Fill in the appropriate title of the document being filed from the drop down menu, or use the document title list if you are not filling the form out on line
4. The document title list changes depending on the product delivery unit and document type. For example, the list of document titles under ADJ "LEGAL DOCS" is different from the list of titles under ADJ "MEDICAL DOCS." Be sure you have clicked the correct unit and document type so the appropriate document titles are available to select. If you have a question about document titles, check the [document title list](#) that accompanies the separator sheet. Don't write in a document title that doesn't exist in the drop-down menu: EAMS will not accept it
5. Fill in the document date (such as the date of a medical report, or date of the letter) using two-digit months and dates, and a four-digit year (such as 02/15/2008)
6. Author: Be sure to use the [uniform assigned name](#) of the representative or claims administrator signing the form or document that follows the separator sheet. If the form was not authored by a claims administrator or representative, use the name of the individual. For example, in the case of a claims examiner, use the uniform name of the claims administrator office; in the case of an attorney, use the uniform assigned name of the representative (law firm) office; in the case of a medical report, the name of the medical practitioner who authored the report goes in

the “author” field. Remember, only representatives and claims administrators have [uniform assigned names](#)

7. Do not fill in the “Date Received.” That information pertains to the date the document is received at the district office, and will be added by district office staff.

**Note:** Make any corrections to the separator sheet before you print it and exit the form. As with all the OCR forms filled in from the DWC Web site, the document separator sheet cannot be saved to your computer after you fill it out unless you have software that allows you to do this.

## **VI. FILING AN APPLICATION FOR ADJUDICATION OF CLAIM**

1. Fill in and print the OCR cover sheet
2. Fill in and print the document separator sheet
3. Prepare the “Application for Adjudication of Claim,” (form WCAB1)
4. Prepare a separator sheet for the 4906(g) statement and prepare the statement itself
5. Prepare a separator sheet for the DWC-1 form and prepare the form itself
6. Prepare a separator sheet for the fee disclosure statement and prepare the statement itself. Use the document title “FEE DISCLOSURE STATEMENT” under ADJ, “LEGAL DOCS.”
7. If necessary per Labor Code § 5501.5(b), prepare a separator sheet for the Venue Authorization and the document itself. Use ADJ — MISC — and the document title CORRESPONDENCE — OTHER
8. Prepare a separator sheet for the proof of service, along with the proof of service itself. This will be the last document in your application package.
9. If you are filing medical reports (which you would not do unless the application is being filed with a DOR), you will need to fill out, print and include a document separator sheet, which will precede each accompanying medical report
10. If filing more than the application package, and filing a proof of service that lists more than one document, you will need a document separator sheet on top of your proof of service.

Note on uniform assigned names:



- An attorney filing an application for adjudication of claim on behalf of an injured worker will use the uniform assigned name of the claims administrator in the area designated for “claims administrator information” on page two of the application
- In the area for “insurance carrier information” just above this, the attorney will fill in the name of the insurance carrier they would have used prior to the introduction of these new forms since there is no category for “insurance carrier” in the assigned names database (only claims administrators and representatives)
- On page five of the application, the attorney will use the assigned name for his or her firm on the line for “law firm or company name” under “is the applicant represented?”

**Example:** The complete file you submit to the district office should include the following and be in this order:

- OCR cover sheet
- Document separator sheet
- Application for adjudication of claim
- Document separator sheet
- 4906 (g) statement
- Document separator sheet
- DWC-1 form
- Document separator sheet
- Fee disclosure statement
- Document separator sheet
- Venue authorization
- Document separator sheet
- Proof of service of the above documents

**Note:** You need to prepare a cover sheet to precede each application you file, even for the same injured worker.

**Note:** Do not file originals, as OCR documents are destroyed after scanning. **Keep originals in your files.**

**Remember:** If you are mailing the documents to the district office you will need to use a 9x12 envelope or larger. Do not fold, staple or hole-punch the documents being submitted to the district office, (see section III B above).

## **VII. FILING A DECLARATION OF READINESS TO PROCEED or DECLARATION OF READINESS TO PROCEED (EXPEDITED HEARING)**

EAMS provides two different declaration of readiness to proceed forms, depending on the type of hearing you are requesting. Be sure to use the correct form. You need to fill out a cover sheet and any needed document separator sheets as described in section IV above.

**Example:** The DOR you submit to the district office should include the following and be in this order:

- OCR cover sheet
- Document separator sheet
- Declaration of readiness to proceed or expedited hearing request (OCR form)
- Document separator sheet
- AME/QME or relevant PTP reports only, with accompanying proofs of service), with separator sheets between each medical report
- Document separator sheet
- Proof of service of the above documents

**Note:** Regulations limit the items to be filed along with the DOR at the district offices. That is, ONLY AME reports, QME reports, and/or PTP reports relevant to the issues being raised on the DOR may be submitted. Other relevant reports and evidence are to be brought to the MSC or conference.

## **VIII. HOW TO FILE PETITIONS AND OTHER NON-OCR DOCUMENTS**

If you file documents that are not EAMS OCR forms (such as certain petitions), submit the documents with the proper OCR cover sheet and document separator sheets, in a condition compatible with the district office scanners.

If your petition has exhibits appended to it that relate to the petition, simply place the exhibits after the petition without a document separator

sheet. The combination of the petition and exhibits together will be considered a single document, namely the petition.

**Example:** The non-OCR document you submit to the district office should include the following and be in this order:

- OCR cover sheet
- Document separator sheet
- Document (such as a petition to compel attendance)
- Exhibit one to petition, i.e., letter informing of the depo/dr. appointment
- Exhibit.....etc.
- Proof of service of the above documents

NOTE: Appending exhibits to petitions ONLY applies to petitions, such as a “Petition to Compel Attendance at Medical Exam” or a “Petition for Deposition Attorney’s Fee – Labor Code § 5710.” This does not apply to preparing exhibits for trial. Documents submitted as proposed exhibits for trial must be prepped with document separator sheets.

**Note:** Do not file originals as OCR documents are destroyed after scanning. **Keep originals in your files.**

## **IX. HOW TO FILE WALK-THROUGH DOCUMENTS, INCLUDING SETTLEMENTS AND AUTHORIZED PETITIONS**

**WHAT CAN BE WALKED THROUGH?** Consult the [court administrator regulations](#) to determine which documents may be walked through for approval. Regulation §10280 allows the following to be walked through:

- Compromise and releases
- Stipulations with request for award
- Petitions for attorney’s fees for representation of the applicant in vocational rehabilitation
- Petitions for attorney’s fees for representation of the applicant at a deposition
- Petitions to compel attendance at a medical examination or deposition.

On Dec. 12, 2008 it will be mandatory for settlement documents to be on OCR forms.

**NEW CASE:** If the item to be walked through is a settlement and is the opening document, (meaning the item to be walked through does not pertain to an existing EAMS or legacy case file), the settlement must be filed—utilizing the proper forms, cover sheets and document separator sheets—by 12 p.m. the day before the anticipated walk through. This timeframe allows district office staff to scan the document into EAMS, and EAMS to process the scanned documents overnight. This process, known as the “batch process,” opens a case in EAMS and assigns a case number. The walk-through party may appear at the district office the following day, between 8 a.m. and 11 a.m. or between 1 p.m. and 4 p.m., and proceed to the assigned walk-through judge for review and approval of the settlement.

**EXISTING CASE:** If a case already exists in EAMS, any party may bring a properly prepared walk-through document, set up with the appropriate cover sheets, document separator sheets and proofs of service, to the district office and proceed to an assigned walk-through judge for review and approval of the document. The approved document and attachments will be scanned in after the judge has signed his/her order.

**Note:** The process for walking through settlements or petitions differs for e-forms (forms filed electronically over the Web). OCR form filers need to be sure to follow the regulations pertaining to OCR filing of walk-through documents.

The walk-through process for OCR forms includes:

1. Filling out and printing the OCR cover sheet per the instructions in sections IV and V above. Include the companion cases and case numbers if they are addressed with the settlement
2. Filling out and printing the necessary document separator sheets to precede each form and document to be walked through
3. Filling out and printing the OCR form (such as the OCR C&R), and obtaining the appropriate signatures. (If filing a petition, which is not one of the OCR forms, prepare the petition as usual)
4. If the settlement is not an opening document, take the above package of documents in proper format to the assigned walk-through judge.

## **X. HOW TO FILE DOCUMENTS AT HEARINGS, (OTHER THAN TRIAL)**

**Settlement documents:** If OCR settlement documents have not been prepared in advance of the conference or MSC, obtain the OCR forms from the district office, or bring them to court, fill them out, obtain the signatures, prepare the OCR cover sheet and document separator sheets and submit the package to the judge for review and approval.

**Minutes of hearing/ stipulations & issues:** If not prepared before the hearing, fill out the OCR forms provided by the district office (or the OCR forms you brought to court) legibly, hand printing the information on the OCR forms.

**Note:** You must bring copies of the original evidence you list on the stipulations and issues with you to the MSC. The only evidence that should be listed is evidence relevant to the issues to be submitted at trial. The copies must be brought to the MSC in proper format, including cover sheets and document separator sheets, and left with the court at the MSC, (unless you settle the case or otherwise dispose of the case at the MSC). Retain the originals of all evidence in your possession, as the copies submitted to the court will be destroyed after scanning. Oversized exhibits and tangible evidence should be brought to the MSC and presented to the judge who will assign a party to retain custody of the items and bring them to trial.

## **XI. FILING DOCUMENTS AND OTHER TANGIBLE EVIDENCE AT TRIAL**

Occasionally, additional evidence is submitted on the day of trial. In those rare instances, such documents must be in the condition specified to be compatible with the DWC scanners. Oversized exhibits or tangible evidence such as subrosa discs/video, will be brought to the trial and released or returned to the custody of the party submitting them. Documents submitted on the day of trial will be scanned into EAMS after the trial.

**Settlement documents:** If settlement documents are prepared at the time of trial, you will use the OCR forms available at the district office, or the first generation OCR forms you brought to court, including the OCR

C&R or stipulation and request for award, the cover sheet and document separator sheets. These documents will be scanned into EAMS after the judge has approved the settlement.

## **XII. FILING DOCUMENTS WITH THE DEU**

Filing documents with the Disability Evaluation Unit (DEU) is no different than filing with the district office in an ADJ case. However, on the cover sheet you need to identify that you are filing documents into the 'Product Delivery' case for DEU. You will also be filing the forms that pertain to DEU, such as the OCR [request for consultative rating form](#). One last thing to keep in mind is that the document separator sheet has a different drop down menu for the DEU document types and titles.

**Example:** The DEU form you submit to the district office should include the following and be in this order:

- OCR cover sheet (identify DEU)
- Document separator sheet (use DEU drop downs)
- DEU OCR form (such as request for consultative rating)
- Document separator sheet
- Medical report to be rated
- Document separator sheet
- Other medical report to be rated
- Document separator sheet
- Proof of service of the above documents

## **XIII. FILING DOCUMENTS WITH VOCATIONAL REHABILITATION UNIT/RETURN TO WORK UNIT, etc.**

Filing documents with other units is no different than filing them in the ADJ or DEU case, as explained above. The only differences are which OCR form you fill out, which product delivery unit you indicate on the OCR cover sheet, and the drop-down menus on the separator sheets.

**Example:** The VOC, RSU or INT form you submit to the district office should include the following and be in this order:

- OCR cover sheet (identify VOC, RSU or INT)
- Document separator sheet
- OCR form you wish to file (example: OCR RU-122)

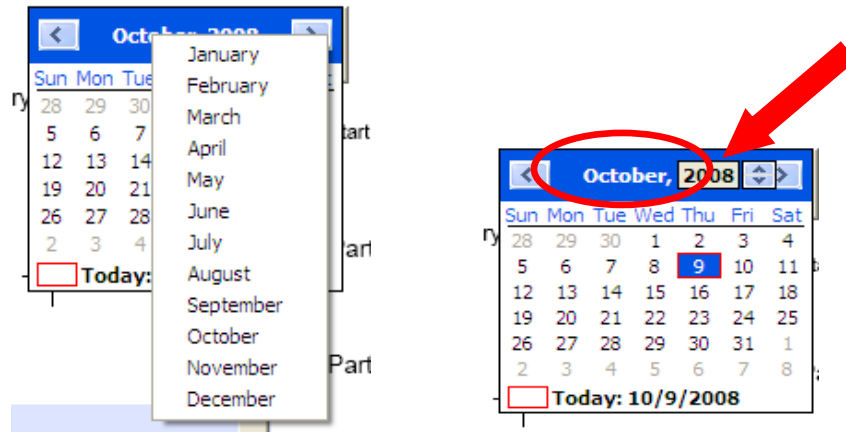
- Document separator sheet
- Document to be attached
- Document separator sheet
- Document to be attached
- Document separator sheet
- Proof of service of the above documents

#### **XIV. HOW TO PREPARE EAMS OCR FORMS**

Be sure to upgrade your free version of Adobe Reader.

1. Click on the link to open the fillable form in Adobe Acrobat Reader through your browser
2. When you open the form you will see a “Highlight Fields” button in the upper right corner. Click this button to activate this feature
3. Depending on your version of Adobe, you may or may not have another button that says “Highlight Required Fields.” If so, click this button as well to activate this feature. This will show you the location of all fields that will accept data—those fields that are required will appear in red
4. Click on the first fillable field. You will get a dialogue box that says “Cannot Save Form Information.” This means that, unless you have a full version of Adobe Acrobat or other software that will allow you to save the filled form, you will only be able to save a blank version of the form to your computer. If you don’t want this message to appear each time you open a form, click on the checkbox in the message that says “Don’t Show Again” and click “Close.” If you want the message to continue to appear, just click “Close.”
5. Fill in all the data you have for the highlighted fields. Do not skip fields if you have the requested information
6. Required fields must be filled in or the form will not be accepted
7. Enter all data in the “ALL CAPS” format. Use the “Caps Lock” function on your keyboard
8. Do not enter any special characters. Don’t use periods, commas, colons, semi-colons, hypens, etc. For example, if you are entering the name Lupe O’Brien you will type that in as LUPE OBRIEN. (Dates are an exception to the “no special characters” rule as they are entered using slashes: MM/DD/YYYY)

9. Tab between fields. Tabs are set to facilitate use of the forms for those with disabilities and do not necessarily flow from one field to the next. If you find these settings counterintuitive, use your mouse and left click in the field you need. Press SHIFT+TAB to go to the previous field
10. Several fields have drop-down lists. It is best to use them to populate the field
11. When entering dates, it is best to use the drop-down calendar. Click on the month shown to change; click on the year and use the arrows shown to change. See below:



12. To select a checkbox, either click on the box or tab to the box and press your spacebar to mark the box. Note that there are several instances where you must select one of several checkboxes. Use your mouse to “check” the appropriate one. You may also use your arrow keys to move between the checkboxes
13. Pay attention to the error messages and make any necessary changes. If the corrected data satisfies the error message, press enter on your keyboard. The error message will close and you will be able to continue

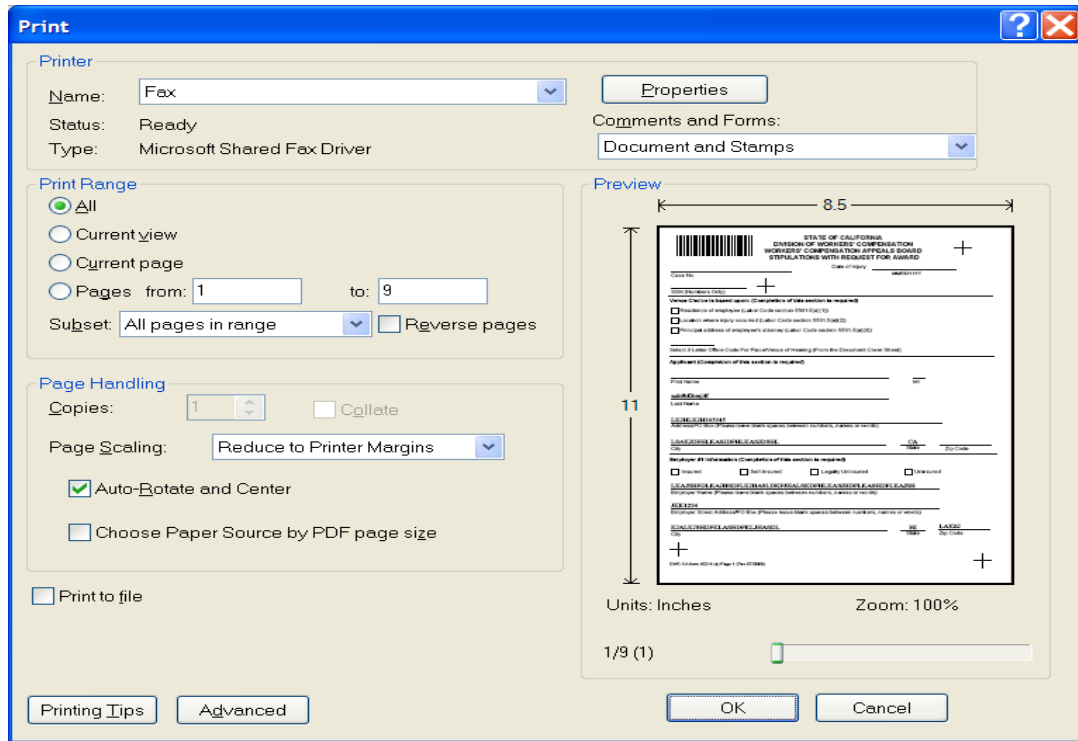
## XV. HOW TO PRINT EAMS OCR FORMS

After filling out the form completely, the preferred method for printing from Adobe Acrobat Reader is:

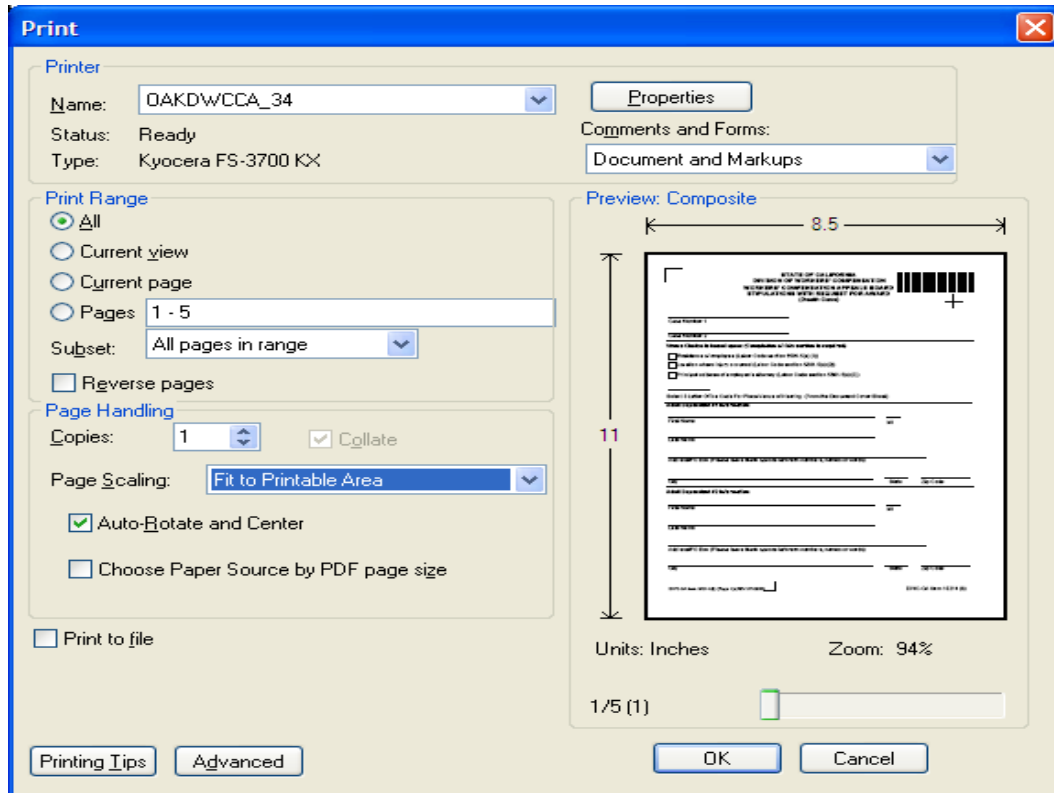
1. Click on the print icon on the form itself, which provides the correct settings, or choose the following print settings manually:
  - a. For Adobe Acrobat Reader versions 7.X.X or older:
    - On page scaling, select “Reduce to Printer Margin”



- Check “Auto Rotate and Center” (see screen shot below—to see the screen shot larger, press CNTRL+[+] or CNTRL+USE MOUSE SCROLL WHEEL)



- b. For Adobe Acrobat Reader versions newer than 7.X.X:
- On page scaling, select "Fit to Printable Area"
  - Check “Auto Rotate and Center”
  - Zoom Factor at 94 percent (see screen shot below)



2. When filling out the forms by hand, keep the following guidelines in mind:
  - Print in block letters (no cursive handwriting)
  - Print in ALL CAPITAL letters
  - Print clearly and legibly
  - On addresses, be sure to leave spaces between the street number and the street name or other words.
3. In all situations, please select the highest print quality your printer will provide.

## **XVI. WHERE TO GO FOR ANSWERS AND HELP**

The DWC Web site has an abundance of information of how to file OCR forms, including the answers to frequently asked questions. As changes occur during the implementation of this new system, they will be posted on the Web site. Regularly check the site for the latest and most accurate information: [www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams)

Be sure to check the dates on the forms and materials you are using. As with any new system, issues surface and are resolved, and updates to training materials will be ongoing.

If you have questions regarding uniform names, the use of the uniform names database, the new central registration process or if you have specific questions about a case filing, you can e-mail them to [EAMSHelpDesk@dir.ca.gov](mailto:EAMSHelpDesk@dir.ca.gov) or call (888) 771-3267 (888-771-EAMS), and select option 4.

General questions about EAMS, the forms, the regulations or other questions should be sent to [eams@dir.ca.gov](mailto:eams@dir.ca.gov).

It would also assist DWC if you and your organization developed a system of escalating only questions to the EAMS Help Desk that can't be answered by reviewing the frequently asked questions and other information on the Web site. Some external users have designated their own EAMS training coordinator to answer questions and have developed internal procedures for escalating only questions that can't be answered internally. DWC suggests this process as an option for external users to escalate questions:

- E-mail your questions to your office's EAMS training coordinator or internal EAMS expert for review
- Provide specific information about error messages, problems filing forms or finding a name in the assigned names database in your e-mail
- Include the name of the case, the case number and a detailed description of the problem when reporting issues (screen shots are particularly helpful—use “alt + prtsc” and paste into a Word doc)
- Have the office EAMS training coordinator review and answer your questions
- If your training coordinator cannot answer the question, he or she will e-mail the DWC:
  - ➔ General questions, including general questions about OCR forms: [EAMS@dir.ca.gov](mailto:EAMS@dir.ca.gov)
  - ➔ Specific questions about a case filing: [EAMSHelpDesk@dir.ca.gov](mailto:EAMSHelpDesk@dir.ca.gov)
- Share the questions and answers with all offices of the firm or organization.

## **XVIII. BODY PART CODES LIST**

- 100 Head - not specified
- 110 Brain
- 120 Ear - not specified
- 121 Ear - external
- 124 Ear - internal including hearing
- 130 Eye - including optic nerves and vision
- 140 Face - not specified
- 141 Jaw - including chin and mandible
- 144 Mouth - including lips, tongue, throat and taste
- 145 Teeth
- 146 Nose - including nasal passages, sinus and smell
- 148 Face - multiple parts any combination of above parts
- 149 Face - forehead, cheeks, eyelids
- 150 Scalp
- 160 Skull
- 198 Head - multiple injury any combination of above parts
- 200 Neck
- 300 Upper extremities - not specified
- 310 Arm - above wrist not specified
- 311 Arm - upper arm humerus
- 313 Arm - elbow head of radius
- 315 Arm - forearm radius and ulna
- 318 Arm - multiple parts any combination of above parts
- 319 Arm - not specified
- 320 Wrist
- 330 Hand - not wrist or fingers
- 340 Fingers
- 398 Upper extremities - multiple parts any combination of above parts
- 400 Trunk - not specified
- 410 Abdomen - including internal organs and groin
- 411 Hernia
- 420 Back - including back muscles, spine and spinal cord
- 430 Chest - including ribs, breast bone and internal organs of the chest
- 440 Hips - including pelvis, pelvic organs, tailbone, coccyx and buttocks
- 450 Shoulders - scapula and clavicle
- 498 Trunk - use for side; multiple parts any combination of above parts
- 500 Lower extremities - not specified

- 510 Legs - above ankles, not specified
- 511 Thigh femur
- 513 Knee Patella
- 515 Lower leg tibia and fibula
- 518 Leg - multiple parts any combination of above parts
- 519 Leg - not specified
- 520 Ankle malleolus
- 530 Foot not ankle or toe
- 540 Toes
- 598 Lower extremities - multiple parts any combination of above parts
- 700 Multiple parts more than five major parts use only in fifth position of listing of body parts
- 800 Body system - not specific
- 801 Circulatory system - heart - other than heart attack, blood, arteries, veins, etc.
- 802 Circulatory system - Heart attack
- 810 Digestive system - stomach
- 820 Excretory system - kidneys, bladder, intestines, etc.
- 830 Musculo-skeletal system - bones, joints, tendons, muscles, etc.
- 840 Nervous system - not specified
- 841 Nervous system - Stress
- 842 Nervous system - Psychiatric/psych
- 850 Respiratory system - lungs, trachea, etc.
- 860 Skin dermatitis, etc.
- 870 Reproductive systems
- 880 Other body systems
- 999 Unclassified - insufficient information to identify body parts

## XVIII. DISTRICT OFFICE CODES FOR PLACE OF VENUE

<b>Legend</b>	
<b>Abbreviation</b>	<b>Office</b>
AHM	Anaheim
ANA	Santa Ana
BAK	Bakersfield
EUR	Eureka
FRE	Fresno
GOL	Goleta
LAO	Los Angeles
LBO	Long Beach
MDR	Marina del Rey
OAK	Oakland
OXN	Oxnard
POM	Pomona
RDG	Redding
RIV	Riverside
SAC	Sacramento
SAL	Salinas
SBR	San Bernardino
SDO	San Diego
SFO	San Francisco
SLO	San Luis Obispo
SJO	San Jose
SRO	Santa Rosa
STK	Stockton
VNO	Van Nuys