

**TITLE 8, CALIFORNIA CODE OF REGULATIONS  
DIVISION 1. DEPARTMENT OF INDUSTRIAL RELATIONS  
CHAPTER 4.5 DIVISION OF WORKERS' COMPENSATION  
SUBCHAPTER 1.8.5 ELECTRONIC DOCUMENT FILING RULES**

**Article 1. Definitions**

**§ 10205. Definitions**

(a) “Adjudication file” or “ADJ case” means a case file in which the jurisdiction of the Workers’ Compensation Appeals Board has been invoked and which is maintained by the Division of Workers’ Compensation in paper format, or electronic format, or both, including a temporary paper case file.

(b) “Administrative director” means the administrative director of the Division of Workers’ Compensation or his or her designee.

(c) “Appeals board” means the commissioners and deputy commissioners of the Workers’ Compensation Appeals Board acting en banc, in panels, or individually.

(d) “Applicant” or “injured worker” means any person asserting a right to relief under the provisions of Labor Code section 5300.

(e) “Application for adjudication” or “application” means the initial pleading that asserts a right to relief under the provisions of Labor Code section 5300.

(f) “Central Registration Unit” is a unit within the Division of Workers’ Compensation which maintains the website list of uniform names and addresses of claims administrators’ offices, representatives’ offices, and lien claimant organizations.

(g) “Cost” means any sum that is not included as an allowable lien under Labor Code section 4903 at the time of filing. A “cost” includes, but is not limited to: (1) deposition attorneys’ fees under section 5710, (2) medical-legal expenses under section 4620 on or after January 1, 2013, (3) fees related to copy service or subpoena under section 5710 and (4) interpreters’ fees that are not otherwise covered under Labor Code section 4600 or under section 4620 on or after January 1, 2013.

(h) “Declaration of readiness to proceed” or “declaration of readiness” means a request for a proceeding before the district office.

(i) “Defendant” means any person against whom a right to relief is claimed.

(j) “District office” means a trial level workers’ compensation court.

(k) “Document” is a pleading, petition, medical report, record, declaration, exhibit, or another filing submitted by a party or lien claimant, including an electronically scanned version of a document that was filed in paper form. Each medical report or other record having a different author and/or a different date of service is a separate “document.”

(l) “Electronic Adjudication Management System” or “EAMS” means the computerized case management system used by the Division of Workers’ Compensation to store and maintain adjudication files and to perform other case management functions.

(m) “Electronic filing” means electronic transmission of a document into EAMS in accordance with the provision of these regulations.

(n) To “file” a document means to either deliver a document or cause it to be delivered to the district office with venue or to the appeals board for the purpose of having it included in the adjudication file or to electronically file a document via EAMS in accordance with these regulations.

(p) “Hearing” means any trial, mandatory settlement conference, rating mandatory settlement conference, status conference, lien conference, or priority conference.

(q) “Initial lien” means any Labor Code section 4903(b) lien filed in a case on or after the effective date of these regulations by a lien claimant who has not previously filed a lien in the same case.

(r) “Lien claimant” means any person claiming payment under the provisions of Labor Code section 4903 or 4903.1.

(s) “Lien claimant organization” means any entity claiming payment under the provisions of Labor Code section 4903 or 4903.1.

(t) “Lien conference” means a proceeding, including a proceeding set following an order of consolidation, for the purpose of assisting the parties in resolving disputed lien claims and costs filed as liens or, if the dispute cannot be resolved, to frame the issues and stipulations in preparation for trial.

(u) “Mandatory settlement conference” means a proceeding to assist the parties in resolving their dispute or, if the dispute cannot be resolved, to frame the issues and stipulations in preparation for a trial.

(v) “Party” means: (1) a person claiming to be an injured employee or the dependent of an injured employee; (2) a defendant; or (3) a lien claimant where (A) the underlying case of the injured employee or the dependent of an injured employee has been resolved; (B) the injured employee or the dependent of an injured employee chooses not to proceed with his, her, or their case; or (C) a petitioner for costs.

(w) “Petition” means any document filed containing a request for action other than an application for adjudication, an answer or a declaration of readiness to proceed.

(x) “Priority conference” means a proceeding in which the applicant is represented by an attorney and the issues in dispute at the time of the proceeding include employment and/or injury arising out of and in the course of employment.

(y) “Rating mandatory settlement conference” means a mandatory settlement conference conducted to facilitate the determination of the existence and extent of permanent disability through the use of informal ratings issued by the Disability Evaluation Unit, where the only unresolved issues are permanent disability and the need for future medical treatment.

(z) “Regular hearing” means a trial.

(aa) “Section 4903(b) lien” means the medical treatment costs incurred by or on behalf of the injured employee, as provided by Article 2 (commencing with section 4600), consistent with Labor Code section 4903(b). A section 4903(b) lien includes, but is not limited to:

(1) A medical treatment lien, which includes every benefit required to be provided under section 4600, including claims for reimbursement when treatment for an occupational injury or illness has been paid by a health insurer or health care service plan (Labor Code section 4600).

(2) Transportation services expense incurred in connection with medical treatment (Labor Code section 4600).

(3) Interpreters’ fees incurred in connection with medical treatment (Labor Code section 4600).

(bb) “Status conference” means a proceeding set for the purpose of ascertaining if there are genuine disputes requiring resolution, of providing assistance to the parties in resolving disputes, of narrowing the issues, and of facilitating preparation for trial if a trial is necessary.

(cc) “Trial” means a proceeding set for the purpose of receiving evidence.

(dd) “Venue” means the district office, as established by Labor Code section 5501.5 or 5501.6, at which any proceedings will be conducted and from which any district office orders, decisions, or awards will be issued.

Authority cited: Sections 111, 133, 138.2(b), and 5307.3, Labor Code.

Reference: Sections 110, 4903, 4903.1, 5300, 5500.3, 5501.5, 5501.6 and 5502, Labor Code.

## **Article 2: Electronic Filing System Rules**

### **§10206. Electronic Document Filing; Electronic Adjudication Management System (EAMS) Reference Guide and Instructional Manual for E-Form Filers; Incorporation.**

Electronic documents (E-forms) shall be filed upon a form approved by the appeals board. E-form filing shall follow the procedures set forth in the *Electronic Adjudication Management System (EAMS) Reference Guide and Instructional Manual for E-Form Filers (EAMS E-Form Filing Reference Guide)*, Version 2.0, which is incorporated by reference. It may be downloaded from the Division of Workers' Compensation through the Department of Industrial Relations' website at [www.dir.ca.gov](http://www.dir.ca.gov) or may be obtained by writing to:

Division of Workers' Compensation  
Attn: EAMS E-Form Filing Reference Guide  
P.O. Box 71010  
Oakland, CA 94612

Authority cited: Sections 111, 133, 138.2(b), and 5307.2, Labor Code.  
Reference: Section 126, Labor Code.

### **§10206. 1. Electronic Document Filing; Electronic Adjudication Management System Business Rules for JET Filers; Incorporation.**

JET filing shall follow the procedures set forth in the *Electronic Adjudication Management System JET File Business Rules and Technical Specifications*, Version 4.0, which is incorporated by reference. This document may be downloaded from the Division of Workers' Compensation through the Department of Industrial Relations' website at [www.dir.ca.gov](http://www.dir.ca.gov) or may be obtained by writing to:

Division of Workers' Compensation  
Attn: EAMS JET Filing Business Rules  
P.O. Box 71010  
Oakland, CA 94612

Authority cited: Sections 111, 133, 138.2(b), and 5307.2, Labor Code.  
Reference: Section 126, Labor Code.

### **§10206.2. Electronic Filing Exemption**

All electronic documents must be filed in compliance with the Electronic Adjudication Management System regulations set forth in sections 10210, et seq., except that electronic documents do not need to be filed in compliance with sections 10228 and 10232. Documents submitted for filing by any

unrepresented injured employee, any unrepresented dependent of an injured employee, or any unrepresented uninsured employer may be in paper form.

Authority cited: Sections 111, 133 and 5307.3, Labor Code.

Reference: Section 126, Labor Code.

### **Article 3: Manner of Filing of Electronic Documents**

#### **§10206.3. Time of Filing of Documents.**

(a) An electronically transmitted document shall be deemed to have been received by EAMS when the electronic transmission of the document into EAMS is complete. A document received electronically after 5:00 pm of a court day (i.e., Monday through Friday, except designated State holidays) shall be deemed filed as of the next court day.

(b) When an e-form is filed electronically, the party filing the document shall verify completion of filing pursuant to the procedures set forth in the EAMS E-Form Filing Reference Guide, Version 2.0. In the absence of following the procedures set forth in the EAMS E-Form Filing Reference Guide, there is no presumption that EAMS received the document.

(c) When a document is filed using jet filing, the party filing the document shall verify completion of filing pursuant to the EAMS JET File Business Rules and Technical Specifications, Version 4.0. In the absence of a confirmation of successful filing, there is no presumption that EAMS received the document.

Authority cited: Sections 111, 133, 138.2(b), and 5307.2, Labor Code.

Reference: Section 126, Labor Code.

#### **§10206.4. Uniform Assigned Names**

Uniform assigned names (UAN) shall be created and assigned for claims administrators, representatives and lien claimant organizations by the DWC Central Registration Unit. The Central Registration Unit shall maintain the website list of uniform names and addresses of claims administrators' offices, representatives' offices, and lien claimant organization.

Authority cited: Sections 111, 133, 138.2(b), and 5307.2, Labor Code.

Reference: Section 126, Labor Code.

**§10206.5. Form and Size Requirements for Electronic Filed Documents.**

(a) Electronic document filing shall be filed in accordance with the following standards:

(1) All electronically filed documents shall be submitted by using the appropriate e-form or XML file.

(2) Any document that is required to accompany an electronic form shall be filed as an attachment to the electronic form and shall be submitted in one of the following four file formats: “PDF/A1-a (Portable Document Format),” “DOC (.doc” Microsoft Word document),” “XLS” (.xls” Microsoft Excel worksheet sheet),” or “TIFF (.tif or .tiff” Tagged Image File Format).” Filing using the “PDF/A1-a” is preferred.

(3) With the exception of electronic forms and required attachments, no embedded data shall be allowed in electronically filed documents.

(4) The filing party shall take all reasonable steps to ensure that the filing does not contain computer code, including viruses that might be harmful to EAMS or to other users of EAMS. Any electronically submitted document that is determined to contain a virus or other potentially harmful computer code may not be processed and may be deleted.

(5) If it is necessary to attach a document to an e-form, the filing party shall verify the readability of the scanned document before submitting it to EAMS.

(b) Service of any document that has been filed electronically shall include a copy of the entire e-form, all attachments and EAMS cover sheet. The proof of service for any electronically filed document shall identify the serving office’s EAMS administrator and provide that individual’s contact information.

Authority cited: Sections 111,133, and 5307.3, Labor Code.

Reference: Sections 126, Labor Code.

**Article 4: DWC E-Forms, DWC Unstructured Forms , and DWC JET Forms.**

**§10206.14. DWC E-Forms and DWC Unstructured Forms.**

Authorized e-form filers shall use the e-forms from the external user home page. E-forms filing may be obtained from the DWC website at <http://www.dir.ca.gov/dwc/forms.html#EAMSForms>.

Authority cited: Sections 111, 133, and 5307.3, Labor Code.

Reference: Sections 126, Labor Code.

**§10206.15. DWC JET Forms.**

Authorized JET filers shall file forms using the EAMS JET File Business Rules and Technical Specifications, Version 4.0. JET filing forms may be obtained from the DWC website at <http://www.dir.ca.gov/dwc/forms.html>.

Authority cited: Sections 111, 133, and 5307.3, Labor Code.

Reference: Sections 126, Labor Code.

**Article 5. Initial Lien Filing and Lien Activation Fees**

**§ 10207. Initial Lien Filing Fees**

(a) Lien claims enumerated below shall be filed with the appeals board in writing or electronically upon a form approved by the appeals board. The lien shall be accompanied by a proof of service and any other documents required by the appeals board.

(1) Reasonable attorney's fees (Labor Code section 4903(a)).

(2) Living expense liens (Labor Code 4903(c)).

(3) Burial expense liens (Labor Code 4903(d)).

(4) Spousal and child support liens (Labor Code 4903(e)).

(5) Employment Development Department liens (Labor Code sections 4903, subdivisions (f), (g), and (h)).

(6) Victims of Crime liens (Labor Code section 4903(i)).

(b) On or after January 1, 2013, any initial lien filed pursuant to Labor Code section 4903(b) or claim of costs filed as a lien shall be filed electronically using a form approved by the appeals board. The lien shall be accompanied by a proof of service and any other documents required by the appeals board.

(c) Every lien claimant, except those lien claimants listed in paragraph (1), which files an initial lien for medical costs pursuant to Labor Code section 4903(b), shall be responsible for payment of the initial lien filing fee required of providers by Labor Code section 4903.05 and as set forth in subdivision (d).

(1) The following lien claimants are exempted from the payment of the initial lien filing fee requirements under this section:

(A) A health care service plan licensed pursuant to section 1349 of the Health and Safety Code.

(B) A group disability insurer under a policy issued in this state pursuant to the provisions of Section 10270.5 of the Insurance Code.

(C) A self-insured employee welfare benefit plan, as defined in section 10121 of the Insurance Code issued in this state.

(D) A Taft-Hartley health and welfare fund.

(E) A publicly funded program providing medical benefits on a nonindustrial basis.

(2) The following lien claimants or parties are not required to pay the initial lien filing fee under this section as their liens are not liens for medical costs pursuant to Labor Code section 4903(b).

(A) Reasonable attorney's fees (Labor Code section 4903(a)).

(B) Living expense liens (Labor Code 4903(c)).

(C) Burial expense liens (Labor Code 4903(d)).

(D) Spousal and child support liens (Labor Code 4903(e)).

(E) Employment Development Department liens (Labor Code section 4903, subdivisions (f), (g), and (h)).

(F) Victims of Crime liens (Labor Code section 4903(i)).

(G) A defendant filing a Declaration of Readiness to Proceed on a lien claim.

(H) A party who is not a lien claimant.

(I) Companion case pursuant to subdivision (d) of this section.

(d) Unless exempt pursuant to Labor Code section 4903.06(b), prior to or at the filing of an initial lien pursuant to Labor Code section 4903(b), the lien claimant shall submit a filing fee in the amount of one hundred fifty dollars (\$150) to the Division of Workers' Compensation, using a form approved by the appeals board. A filing fee is required for each case in which the lien is filed; however, where one or more liens or one or more costs filed as a lien is filed in more than one case involving the same injured worker and same service or services by the same lien claimant, only one filing fee needs to be paid.



(1) The filing fee shall be collected by the Administrative Director and made electronically consistent with the following filing procedures:

(A) E-Forms filers shall pay the initial lien filing fee following with the procedures set forth in the *EAMS E-Form Filing Reference Guide*.

(B) JET Filers shall pay the initial lien filing fee following the procedures set forth in the *EAMS JET File Business Rules and Technical Specifications, Version 4.0*.

(e) If the initial section 4903(b) lien filing fee has been previously paid, the lien claimant shall submit written documentation of confirmation of payment when filing the Declaration of Readiness to Proceed for a lien conference.

(f) When filing an initial lien, a lien claimant that claims that a filing fee is not required or that a lien filed under Labor Code section 4903(b) is exempt from the filing fee shall so indicate that status on the lien form.

(g) If no application exists for the employee at the time of the initial section 4903(b) lien filing, the lien claimant shall file any necessary application(s) and duty to investigate verification pursuant to section 10770.5. In such cases, the ADJ case number shall be assigned by the appeals board. The lien claimant will receive a Notice of Application assigning a case number. The lien claimant may thereafter file the initial lien claim or claim of cost filed as a lien accompanied with the filing fee required by Labor Code section 4903.05 or confirmation of payment.

(h) For an initial lien pursuant to Labor Code section 4903(b) that is not exempt pursuant to Labor Code section 4903.06(b) confirmation of payment shall be filed with the Declaration of Readiness to Proceed for a lien conference.

(i) The claims of two or more providers of goods or services shall not be merged into a single section 4903(b) lien.

(j) When a lien claimant files liens or claims of costs filed as a lien in more than one case at the same time, the filing fee or fees may be paid in a single transaction following the instructions set forth in the *EAMS E-Form Filing Reference Guide* or the *EAMS JET File Business Rules and Technical Specifications, Version 4.0*.

(k) A section 4903(b) lien or claims of costs filed as a lien submitted for filing on or after January 1, 2013 that does not comply with the requirements of this section shall be invalid, even if lodged with the appeals board, and shall not operate to preserve or toll any time limit for filing of the lien.

(l) Any section 4903(b) lien or claims of costs filed as a lien filed for goods or services that are not the proper subject of a lien may be dismissed upon request of a party by verified petition or

on the appeals board's own motion. If the section 4903(b) lien or claim of costs filed as a lien is dismissed, the lien claimant will not be entitled to reimbursement of the filing fee.

(m) Unless exempt pursuant to Labor Code section 4903.06(b), no initial section 4903(b) lien or claim of costs filed as a lien shall be accepted for filing on or after the effective date of these regulations unless accompanied by full payment for the filing fee required by Labor Code section 4903.05. Until receipt of proper payment or confirmation of payment, the lien shall not be deemed to have been received or filed for any purpose.

(n) When the attorney for the employee or dependent or any assignee of the lien claimant files the initial medical costs, that filing shall be deemed to have been made by an agent for the medical provider and payment of the filing fee required by Labor Code section 4903.05 shall be required of the filing party as if the lien had been filed directly by the lien claimant.

Authority cited: Sections 111, 133, 4903.05, and 5307.3, Labor Code.

Reference: Sections 126, 4903, and 4903.05, Labor Code; section 1349 Health and Safety Code; sections 10121, and 10270.5, Insurance Code.

### **§ 10208. Lien Activation Fees**

(a) Any lien filed pursuant to Labor Code section 4903(b) filed prior to January 1, 2013, and any cost filed as a lien prior to January 1, 2013, shall be subject to a lien activation fee in the sum of one hundred dollars (\$100.00), payable to the Division of Workers' Compensation prior to filing a Declaration of Readiness to Proceed for a lien conference by that party, prior to appearing at a lien conference for a case, or on or before January 1, 2014, whichever occurs first. A lien activation fee is required for each lien filed prior to January 1, 2013, and for each cost filed as a lien prior to January 1, 2013; however, where one or more liens or one or more costs filed as lien is filed in one or more cases involving the same injured worker and same service or services by the same lien claimant, only one lien activation fee is required.

(1) The following lien claimants are exempt from the payment of the lien activation fee requirements under this section:

(A) A health care service plan licensed pursuant to section 1349 of the Health and Safety Code.

(B) A group disability insurer under a policy issued in this state pursuant to the provisions of section 10270.5 of the Insurance Code.

(C) A self-insured employee welfare benefit plan, as defined in section 10121 of the Insurance Code issued in this state.

(D) A Taft-Hartley health and welfare fund.

(E) A publicly funded program providing medical benefits on a nonindustrial basis.

(2) The following lien claimants or parties are not required to pay the lien activation fee pursuant to Labor Code section 4903(b):

(A) Reasonable attorney's fees (Labor Code section 4903(a)).

(B) Living expense liens (Labor Code 4903(c)).

(C) Burial expense liens (Labor Code 4903(d)).

(D) Spousal and child support liens (Labor Code 4903(e)).

(E) Employment Development Department liens (Labor Code section 4903, subdivisions (f), (g), and (h)).

(F) Victims of Crime liens (Labor Code section 4903(i)).

(G) A defendant filing a Declaration of Readiness to Proceed on a lien claim.

(H) A party who is not a lien claimant.

(I) The lien claimant provides proof of having paid a filing fee as previously required by former section 4903.05, which required the filing of a payment fee in the amount of \$100 when filing an initial medical costs or medical-legal expense lien pursuant to then Labor Code section 4903(b). (Chapter 639 of the Statutes of 2003), and the filing fee has not being reimbursed to the lien claimant.

(J) Companion case pursuant to subdivision (a) of this section.

(b) Lien claimants of previously consolidated cases of liens pursuant to Labor Code section 4903(b) prior to January 1, 2013, and consolidated cases of any costs that were filed as a lien prior to January 1, 2013, shall be subject to a lien activation fee in the sum of one hundred dollars (\$100.00) for each injured worker. Payment shall be made at or before the lien conference, but no later than January 1, 2014.

(c) The lien activation fee shall be collected by the Administrative Director and made electronically consistent with the following filing procedures. All fees shall be deposited in the Workers' Compensation Administration Revolving Fund and applied for the purposes of that fund.

(1) E-Forms filers shall pay the lien activation fee following the procedures set forth in the EAMS E-Form Filing Reference Guide, Version 1.0.

(2) JET filers shall pay the lien activation fee following the procedures set forth in the EAMS JET File Business Rules and Technical Specifications, Version 4.0.

(d) If the activation fee for a section 4903(b) lien filed prior to January 1, 2013 or the cost filed as a lien prior to January 1, 2013 has been previously paid, the lien claimant shall submit confirmation of payment with the Declaration of Readiness to Proceed for a lien conference.

(e) All lien claimants that are required to pay an activation fee pursuant to this article that did not file the Declaration of Readiness to Proceed for a lien conference and remain a lien claimant of record at the time of a lien conference or consolidated lien conference shall submit confirmation of payment of the lien activation fee at the lien conference.

Authority cited: Sections 111, 133, 4903.06, and 5307.3, Labor Code.

Reference: Sections 126, 4903, and 4903.06, Labor Code; section 1349 Health and Safety Code; section 10270.5, and 10121, Insurance Code.