UNITED STATES DISTRICT COURT

SOUTHERN DISTRICT OF NEW YORK

CM/ECF

VERSION 4.0.3

A Guide to the New Features for Attorneys and Law Firm Staff

Version 4.0.3 Enhancements & Changes

CM/ECF Release Version 4.0.3 incorporates a number of changes to the court's Case Management/Electronic Case Files system. Some have been included to improve the system's functionality, some to comply with recent changes to rules and procedures and others to help users navigate through the system.

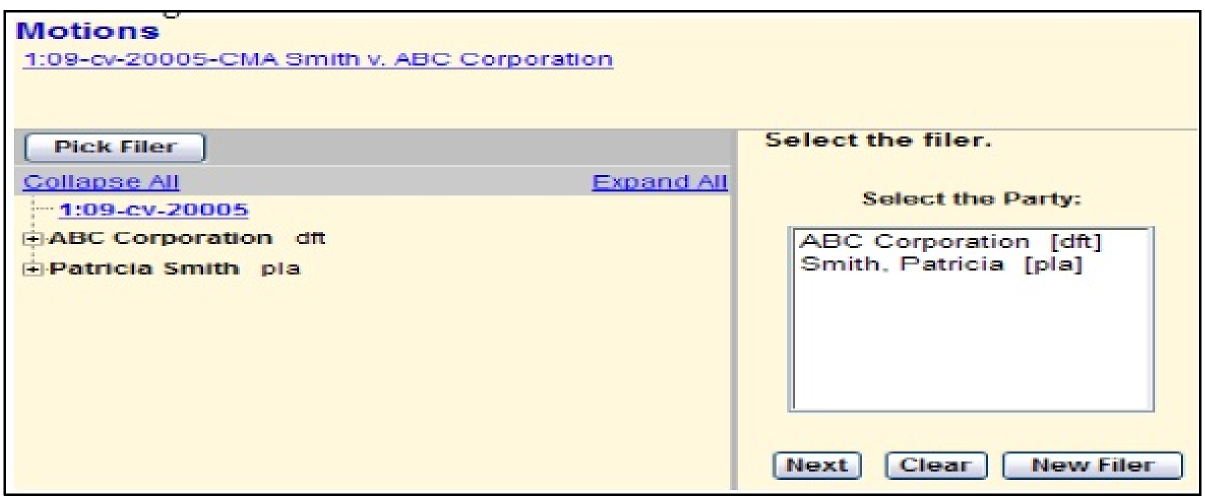
The procedure(s) in CM/ECF Version 4.0.3 for docketing (filing) have been redesigned to process parties and documents more efficiently, improve speed, and enhance the user's experience.

This document is intended to offer an overview of the upgrades and additions to CM/ECF version 4.0.3.

DOCKETING CHANGES

Selecting the Filer

During the docketing process, the case participant tree is displayed in the left pane (left side of the screen) so users can readily see all case participants while selecting the filers. All party selections will be made in the right pane (right side of the screen).



Docketing - Select the Filer Screen

If a **new** participant is added during the docketing process, then icon controls will be visible in the participant tree for the new participant **only**.

The following table provides a description for each of the icons that **MAY** appear in the participant tree:

Icon	Description
	Delete this party from the case.
	Add new alias, corporate parent, or attorney.
	Copy attorney(s) from other parties in the case to this party.
	Edit the party, alias, corporate parent or attorney. Only displays beside actual names of participants, so if no participant has been added, this icon is suppressed.

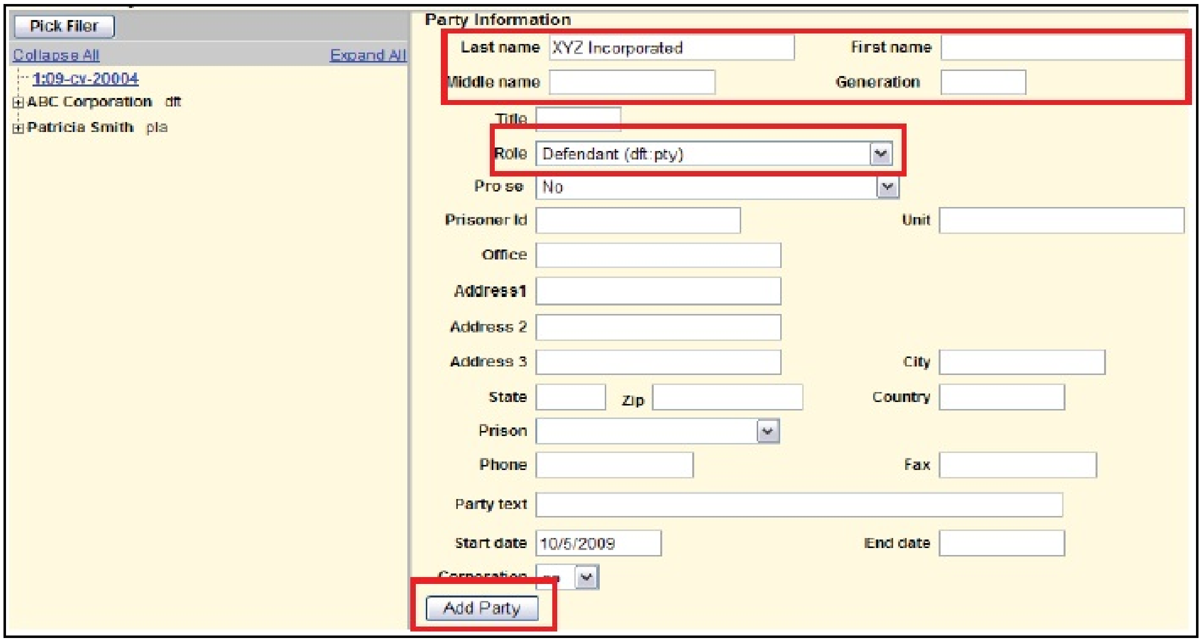
Icons

Additionally, the **+** and **-** icons for each branch of the participant tree expand or collapse the branch, respectively. The **Expand All** hyperlink displays all the participants in the case, once they are added. The **Collapse All** hyperlink displays only the parties in the case, with the other participant information collapsed in the tree. The **Pick Filer** button brings the party list back if the user searches for a party but decides not to add one.

When selecting the filer, the right pane displays the existing parties and the case participant tree is in the left pane. Click the name of the party for whom you are filing the document, or, if the **Select a Group** option is presented and you represent all defendants or all plaintiffs you may select a group by clicking in the circle next to the group.

To add a new party, the user should click the **New Filer** button located in the right pane. A new search screen will be displayed from which the user can then search for and add a new party.

To search for a new filer, type in the party's first and last name, or if a business, the business name. Be sure to scroll down through the list of names that come up on the screen. If the system finds the correct name, select the name already in the database to eliminate different versions of the same party name. If no match is found, click the **Create New Party** button and complete the Last Name, First Name and, if applicable, add the Middle Name and Generation fields. **Do not enter a party's address**. Be sure to select the correct Role of the party and click the **Add Party** button.



Add Party Information Screen

After searching for, selecting and adding a filer, the filers name appears in the participant tree and is added to the party pick list and is highlighted in the list. The user can either:

- add an alias or corporate parent by clicking the corresponding "**add**" icon,
- edit the party information by clicking on the pencil "**edit**" icon,
- delete the party by clicking the red **X** "**delete**" icon,
- add a new party by clicking on the **Add New Party** button at the top left of the screen.

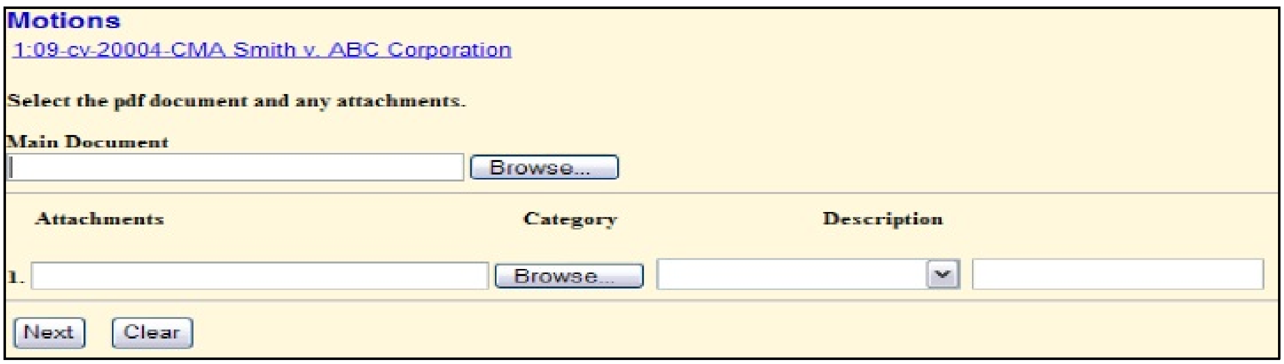
When a new party is added, it is added to the party pick list, highlighted in the list and added to the participant tree in the left pane. To add more parties, repeat the process. Parties that are added to civil cases during docketing will have control icons in the participant tree so the user can add aliases, corporate parents, etc. for the party during this process. **There are no icon controls for existing participants in the participant tree during docketing.**

If a new participant is added during the docketing process, then icon controls will be available for the new participant only. Attorneys may link themselves to a party but may **not** add other attorneys to the docket.

ADDING DOCUMENTS AND ATTACHMENTS

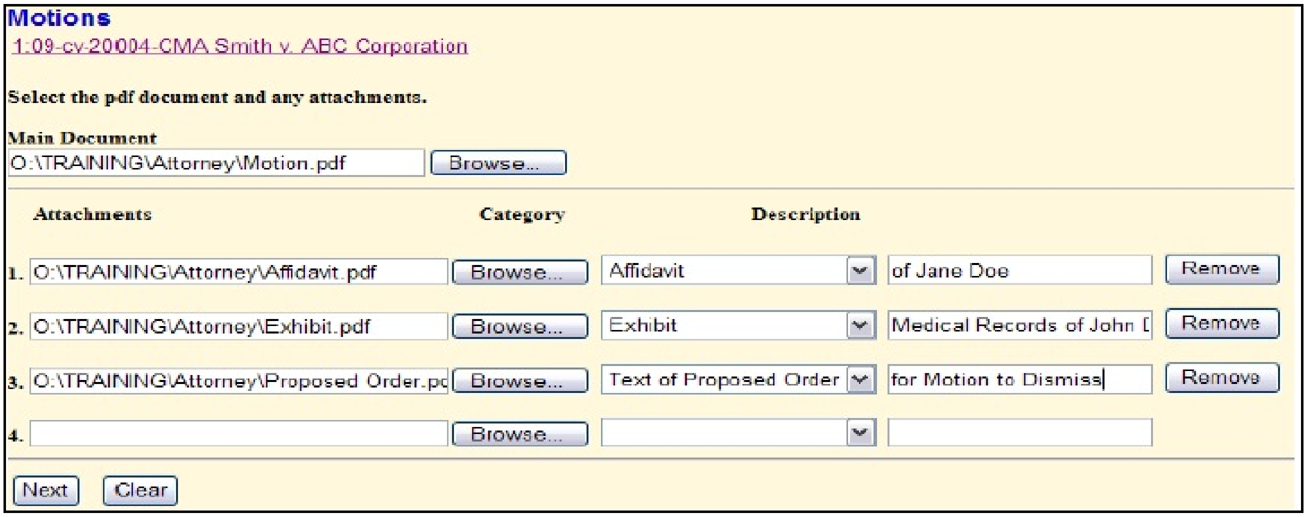
CM/ECF Release Version 4.0.3 includes modifications to the way documents and attachments are added and handled in CM/ECF. The changes include a new single screen for document and attachment uploading during docketing, and an improvement in the way attachments are numbered on the **Document Selection** screen.

The process of adding a main document and attachments during docketing has been streamlined to only require one screen, shown below in its initial state:



Document Upload Screen - Initial State

After browsing and selecting the appropriate **Main Document**, the user should click the **Browse** button in the *Attachments* section to add the first attachment. Once a PDF document is selected, the user can select a Category, if applicable. The user **<u>MUST</u>** enter a Description to further describe the attachment. It is also acceptable to enter data in both the Category and Description fields. As the process of adding an attachment is completed, a new row will appear so the user can then add a second attachment if necessary. Additional rows will appear as needed.



Document Upload Screen - After Selecting a Main Document and Three Attachments

If only three attachments should be added, the user should leave the fields in the fourth row blank and then click **Next**. If additional attachments should be added, the user should click **Browse** for each attachment and then add the document.

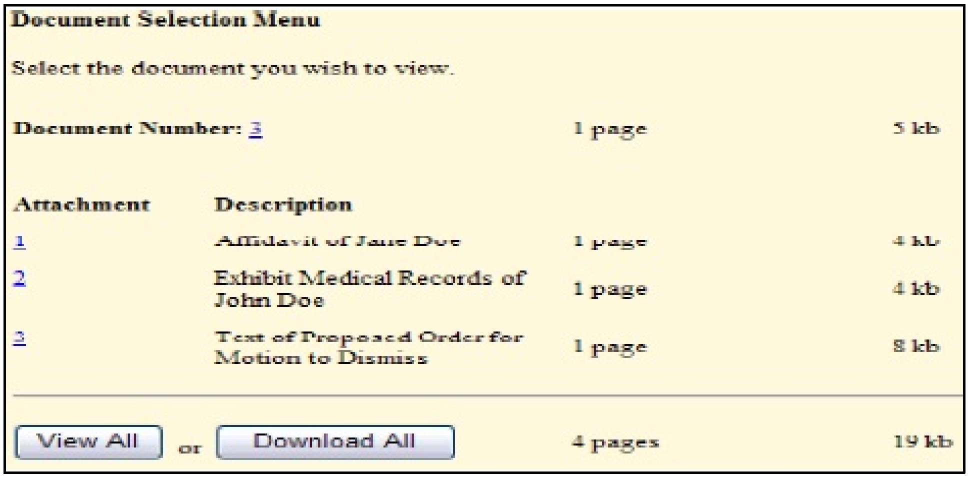
If an attachment should be removed, the user should click **Remove**. If, for example, Attachment 1 is removed and there is a second attachment, Attachment 2 would become Attachment 1, etc.

If an attachment file is incorrect and needs to be replaced, the user should click **Browse** again for the attachment and load a different document. If the user clicks the **Clear** button after adding documents and attachments, the screen will be returned to the initial state.

Document and Attachment Numbering

When viewing a document with attachments, the document selection screen was modified so that the attachments are numbered beginning with 1. This way, the attachment numbers are consistent everywhere they appear (i.e., docket text, the document selection screen). Previous versions of the software listed the Main Document as Part 1 and any attachments followed in numerical order causing Exhibit 1 to be Attachment 2.

Also, the file sizes and the total size of all of the documents for a docket entry are displayed on the document selection screen.



Document Selection Menu

Select the document you wish to view.

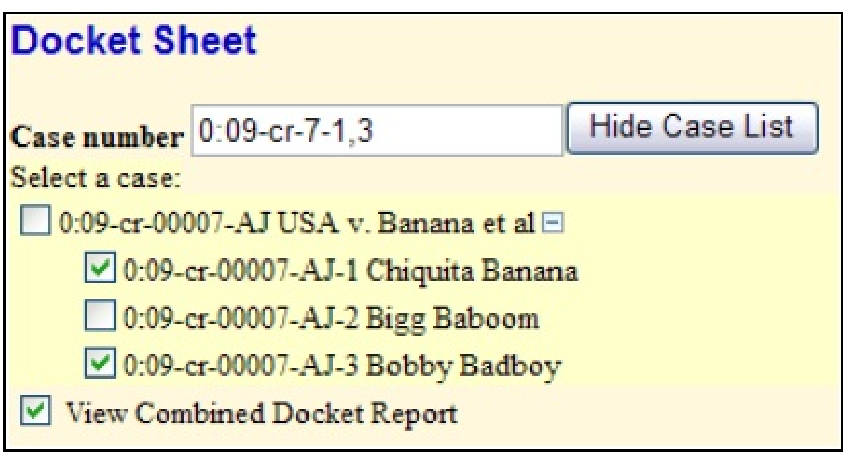
Document Number: 3		1 page	5 kb
Attachment	**Description**		
1	Affidavit of Jane Doe	1 page	4 kb
2	Exhibit Medical Records of John Doe	1 page	4 kb
3	Text of Proposed Order for Motion to Dismiss	1 page	8 kb
View All or Download All		4 pages	19 kb

Document Selection Screen

DOCKET REPORT

Combined Docket Report - Criminal Cases

Users can now run a combined Docket Report for a subset of criminal defendants in a multi-defendant case. A new ***View Combined Docket Report*** checkbox will be displayed beneath the case number list when a case number for a multi-defendant criminal case has been entered and two or more of the criminal defendant cases have been selected. Selecting the *View* ***Combined Docket Report*** checkbox allows the user to run the combined form of the report for the chosen subset of defendants.



Docket Sheet

Case number 0:09-cr-7-1,3 Hide Case List

Select a case:

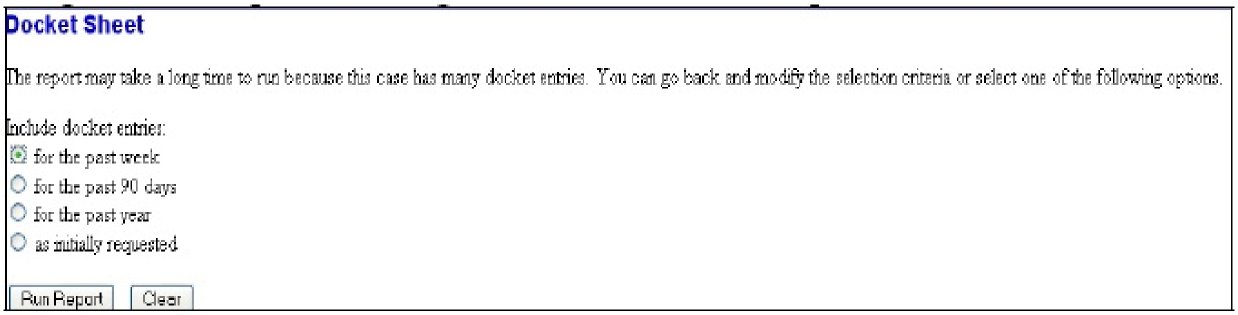
- [ ] 0:09-cr-00007-AJ USA v. Banana et al
  - [x] 0:09-cr-00007-AJ-1 Chiquita Banana
  - [ ] 0:09-cr-00007-AJ-2 Bigg Baboom
  - [x] 0:09-cr-00007-AJ-3 Bobby Badboy
- [x] View Combined Docket Report

Docket Sheet Case Number Selection

The combined Docket Report displays all of the defendant, party, and attorney information in the top section of the report for those defendants selected. The combined proceedings of the chosen defendants are displayed in the bottom section of the report.

Large Docket Report Warning

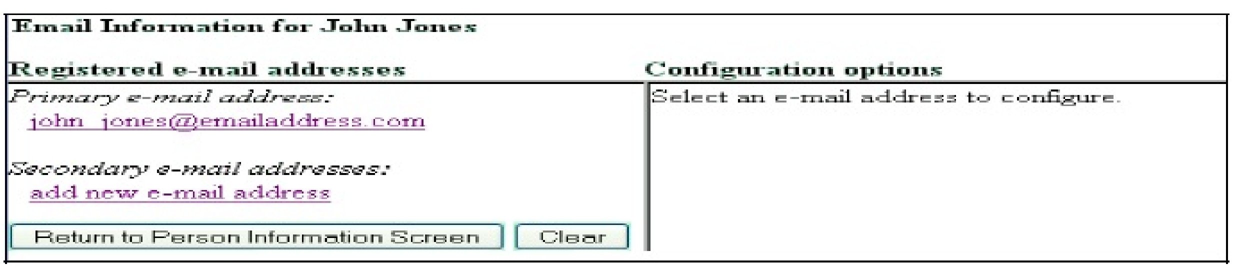
Depending on the selection criteria entered by the user, it is possible for a large amount of data to be included in the report output. A warning with additional options now displays when the report output includes more than 200 docket entries. Users are presented with options to help narrow the search to include docket entries for the past week, the past 90 days, the past year, or as initially requested.



Large Docket Report Warning - Additional Selections Options

MAINTAIN YOUR EMAIL MODIFICATIONS

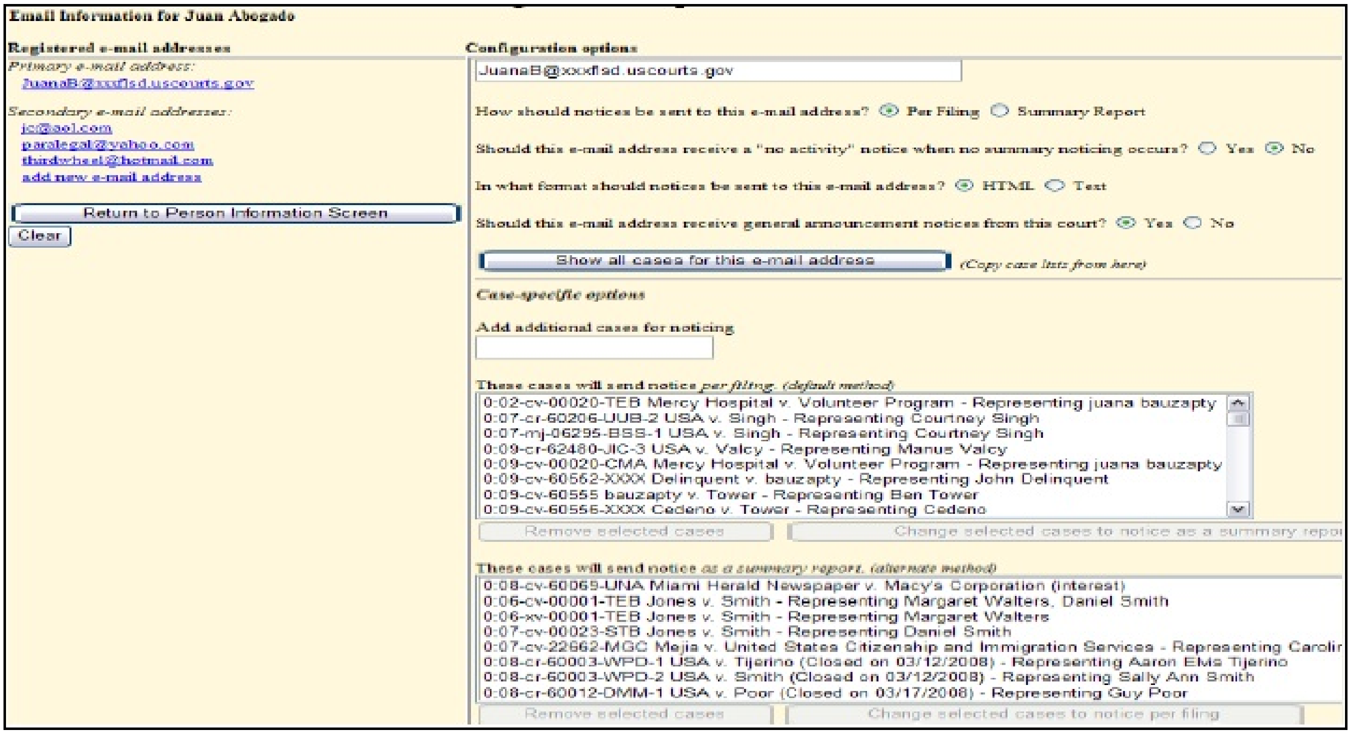
The Email Information screen in **Maintain Your Account** has been modified to provide more streamlined functionality. Additional options are presented to the user rather than being hidden. Cutting and pasting multiple case numbers from one person account to another and/or from one delivery method to another is now allowed.



Email Information Screen - Initial Screen

The initial Email Information screen is divided into two panes. In the left pane, the primary email address and secondary email addresses, if any, appear as hyperlinks.

When the user clicks the primary or secondary email address hyperlink in the left pane, configuration options appear under the email address in the right pane.



Email Information Screen - Configuration Options

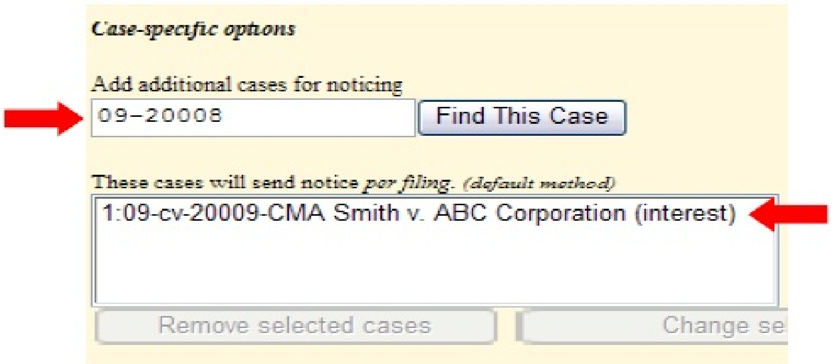
To remove an email address, the user should click on the address on the left pane. This will cause the email address to display in a text field on the right pane, along with all the configuration options and case lists (if any) associated with the email address. The user should remove the email address from the text field. If the user wants to change the email address to a different one, the user should immediately type the new address in the text field. **If the user clicks anywhere outside the text field while a complete email address is not in the text field, all of the configuration options and case lists will disappear from the screen, and the previous email address and settings will be removed.**

The following page shows an explanation of each of the options that appear above:

Option	Description
How should notices be sent to this e-mail address?	Sets the default delivery method for notices sent to this address. If **Per Filing**, an e-mail will be sent for each individual NEF. If **Summary Report**, one daily summary e-mail notice that lists all the filings for that day will be sent after midnight.
Should this e-mail address receive a "no activity" notice when no summary noticing occurs?	This question will only display, if Summary Report is selected. If Yes, the Daily Summary Report e-mail will include the message "no transactions found for this time period". If No, then no e-mail will be generated when there is no activity in the cases.
In what format should notices be sent to this e-mail address?	Controls the format of the e-mails – either **HTML** or **Text**. HTML is the preferred format.
Should general announcement notices be sent to this e-mail address?	Occasionally, the Court will send CM/ECF users announcements. It is recommended that this setting be set to Yes.
Show all cases for this e-mail address?	Displays a list of all of the cases for which the user is configured to receive NEFs.
Add additional cases for noticing	Allows users to add cases in which they are not an active participant, but would like to receive NEFs. **There is no free look associated with these Notices.**
These cases will send notice *per filing. (default method)*	An e-mail will be sent for each individual NEF.
These cases will send notice *as a summary report. (alternate method)*	One daily summary e-mail notice that lists all the filings for that day will be sent after midnight.

To receive Notices of Electronic Filing (NEF's) in additional cases that interest you; enter the case number(s) in the *Add additional cases for noticing* text field in the bottom right pane and then either click **Enter** or **Find This Case**. After selecting the appropriate case(s), click **Add case(s)**. This will add the case(s) to the list of cases in the default method of service list (the first list of cases) with the word (interest) beside the case number.

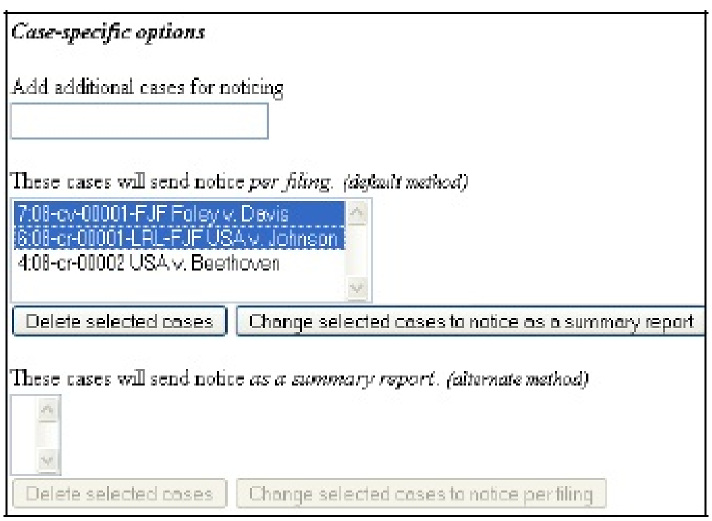
NOTE Terminated attorneys can still receive NEF's for a case using this method.



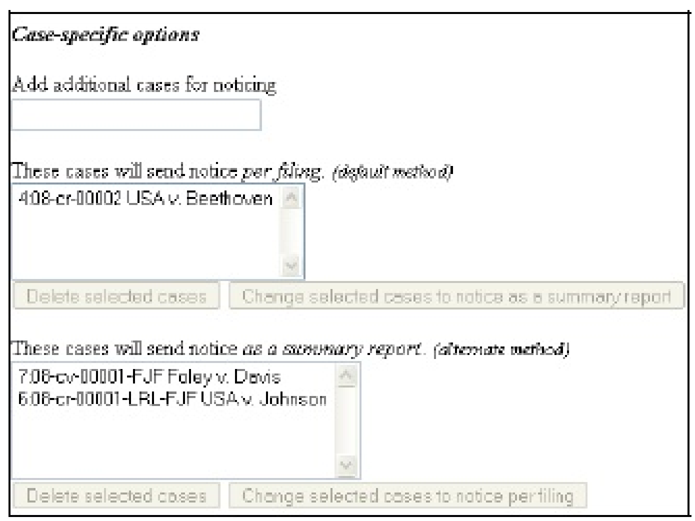
To move cases from the default method list to the alternate method list, the user should click the case number(s) in the primary list and then click the **Change selected cases to notice as a summary report** button (if summary noticing is the default method, then this button will be labeled **Change selected cases to notice per filing**). The cases will be moved to the alternate method list. To delete cases from the default method list or the alternate method list, select the case(s) and then click the **Delete selected cases** button.

In the following screens, only the bottom right portion of the Email Information is shown.

Email Information Screen - Case Specific Options:



Before Moving Cases from Default Method to Alternate Method List



After Moving Cases from Default Method List to Alternate Method List

NOTE A Closed Flag (when applicable) and Judge's initials will be included in case lists.

NOTE There is no case list limit.

For secondary email addresses, an additional option, **Should this e-mail address receive notice for all cases in which this individual is a participant?,** appears in the Configuration Options section of the screen. The user can answer **Yes** or **No**.

Email Account - Miscellaneous

Daily Summary Report - The Daily Summary Report now sends notice indicating "**no transactions found for this time period**" to all summary recipients who did not receive a summary NEF from the regular summary report processing. This applies to anyone with summary delivery method preference who has opted into the function via a new control accessible via the E-mail Information screen.

List of Cases - The Maintain Your Email Account and Maintain User Accounts ->*Email Information* screens now provide for each email address a complete list of all cases for which that email address is configured to receive NEFs.

PDF IMAGES

PDF Headers

The CM/ECF software will now correctly place the PDF header on all scanned PDF documents in the correct position. Previously the PDF header on scanned documents would occasionally appear in positions other than the top of the page. The software now correctly estimates the page size of the PDF documents so that the header is placed correctly.

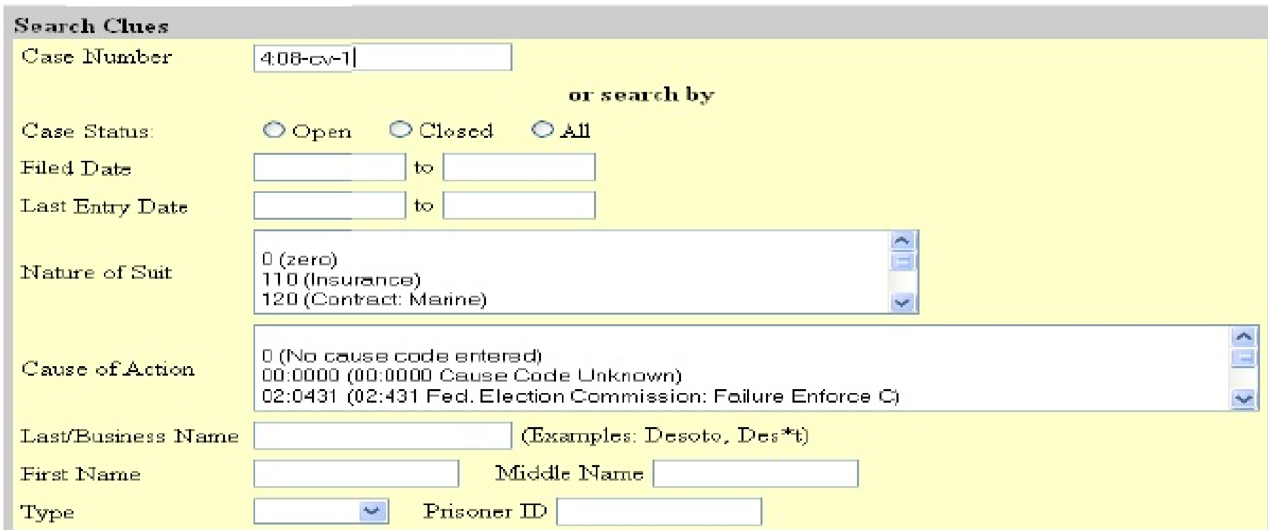
File Size Limitation

When a PDF that is larger than the set document file size limit (2.5 MB) is loaded during docketing, the error message now includes the file size of the current PDF.

PACER QUERY

The PACER Query screen was modified to provide the following options to allow for more refined searching:

- The user now has the ability to search by name, in combination with case status, filed date, last entry date, Nature of Suit or Cause of Action.
- A *Cause of Action* select list was added.



Search Clues

Case Number 4:08-cv-1

or search by

Case Status: Open Closed All

Filed Date to

Last Entry Date to

Nature of Suit
0 (zero)
110 (Insurance)
120 (Contract: Marine)

Cause of Action
0 (No cause code entered)
00:0000 (00:0000 Cause Code Unknown)
02:0431 (02:431 Fed. Election Commission: Failure Enforce C)

Last/Business Name (Examples: Desoto, Des*t)

First Name Middle Name

Type Prisoner ID

Queries now can be run by entering a case number or any combination of the following:

- Case Status
- Filed Date
- Last Entry Date
- Nature of Suit
- Cause of Action
- Last/Business Name
- First Name
- Middle Name
- Type
- Prisoner ID

PACER (Public Access to Court Electronic Records) Contact Information:

For PACER information call 1-800-676-6856 or visit their website at

http://pacer.psc.uscourts.gov/index.html .