Standards and Requirements for Electronic Filing the Record on Appeal

(Revised June, 2017)

Pursuant to Supreme Court Order M.R. 18368, Mandatory E-Filing in Civil Cases, filed January 22, 2016, the Supreme Court authorizes these *Standards and Requirements for Electronic Filing the Record on Appeal*.

1. Definitions

- a. *Bookmark* A type of link with representative text in the Bookmarks panel in the navigation pane of Adobe applications. Each bookmark links to a different view or page in the document.
- b. *Electronic Filing Manager (EFM)* The Supreme Court's approved central e-Filing service used by all Illinois courts to manage the flow of e-Filed documents, including the Record on Appeal, from each registered filer (via their Electronic Filing Service Provider (EFSP) to the intended court.
- c. *Electronic Filing Service Provider (EFSP)* web portals operated by independent companies that transmit filings through the EFM to the intended court.
- d. *Electronic Filing the Record on Appeal (e-Filing)* The electronic transmission of the Record on Appeal to the reviewing court clerk for the purpose of filing the Record on Appeal.
- e. *Electronic Signature* (*e-Signature*) As defined in the Electronic Commerce Security Act (5 ILCS 175/5-105).
- f. *Hyperlink* Links from a hypertext file or document to another location or file, typically activated by clicking on a highlighted word or image on the screen.
- g. *Portable Document Format (PDF)* A computer file format developed by Adobe Systems for reproducing a document in a manner that is independent of the application software, hardware, and operating system originally used to create the document.
- h. *Record on Appeal* The record of the proceedings as defined by Supreme Court Rule 321 Contents of the Record on Appeal and Supreme Court Rule 608 The Record on Appeal. The procedure for a statutory direct review of orders of an administrative agency pursuant to Supreme Court Rule 335 Direct Review of Administrative Orders by the Appellate Court.
- i. Registered User An individual who has registered a username and password with the Electronic Filing Manager.
- j. *Rejection* The reviewing court clerk may reject any electronic filing for any procedural or technical nonconformance and may identify the deficiency to be corrected.
- k. *Secured Records* A sealed, impounded, confidential or protected document(s), report of proceeding, or exhibit which shall not be accessed except by court order.
- 1. *Volume* Sequentially identifies the series number for supplements to the Record on Appeal (Common Law Record, Report of Proceedings, and Exhibits).

2. Registration & Signatures

a. As of July 1, 2017, to transmit a record on appeal from the trial court to the reviewing courts, all filers and users must select and register with an electronic filing service provider (EFSP) to access eFileIL. Once you register with an EFSP, you do not need to reregister should you choose to use another EFSP.

Additional information can be found at http://efile.illinoiscourts.gov

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- b. Registered users shall keep the required registration information current (i.e. email address, phone, etc.).
- c. Any document(s) or record(s) filed electronically by a registered user through its authorized provider or documents containing a facsimile or typographical signature shall be deemed to have been signed pursuant to these Standards and satisfies Supreme Court Rules and statutes regarding original signatures on court document(s) and record(s).

3. Preparation of the Record on Appeal

- a. General Provisions
 - i. To the extent practicable, all documents shall be in Portable Document Format (PDF) with a minimum resolution of 300 Dots per Inch (DPI) and maximum of 600 DPI, scanned in black and white mode, with black text on white background and shall be text searchable. Documents scanned by the preparer of the Record on Appeal shall meet the resolution and search formatting requirements of this section. When possible, documents must be converted to PDF directly from the program creating the document, rather than from a scanned image of a paper document.
 - ii. Each section of the Record on Appeal shall be assembled in volumes of no more than 150 MB. Every effort should be made to limit the number of volumes in each section to support general usability and download practices.
 - iii. Any document within the Record on Appeal containing links to external material are for convenience purposes only and are not considered part of the filing or the Record on Appeal.
 - iv. All documents must be free of viruses or other processes potentially harmful to the recipient and must be secure from alteration, destruction or corruption. Document(s) shall not contain any embedded files or code, videos, links to other files, scripts, tracking tags, and/or any type of executable file or code.
 - v. The Table of Contents for each Section shall contain hyperlinks to the items within the Section to facilitate navigation and location of specific contents and documents within the record. The hyperlinks shall be connected to the "title/description" or "section" name.
 - vi. All Certification of Record documents and Table of Contents shall display the trial/administrative agency and reviewing court case numbers and name of the trial judge/administrative hearing officer in the case caption.

b. Common Law Record Section

- i. A Certification of Record page shall be included as Page 1 of the Common Law Record Section, which shall state that the Record on Appeal has been prepared and certified in the form required for transmission to the reviewing court. (See Appendix 1 Sample)
- ii. A Table of Contents for the Common Law Record Section shall be included as Page 2 after the Certification Page.

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iii. The Table of Contents shall identify the date filed for each document and the title of each document, which shall be listed exactly as titled as descriptive of the filing, as possible (i.e. "Motion to Compel Production of Tax and Financial Information" rather than "Motion"). (See Appendix 2 Sample)

c. Report of Proceedings Section

- i. A Table of Contents shall be included as Page 1 of the Report of Proceedings Section.
- ii. The Table of Contents shall identify the date of each proceeding, and shall be listed exactly as titled as descriptive, as possible, as required by Supreme Court Rule 323. (See Appendix 3 Sample)

d. Exhibits Section

- i. A Table of Contents shall be included Page 1 of the Exhibits Section.
- ii. The Table of Contents shall identify the party offering the exhibit, exhibit number assigned when the exhibit was offered, and description/possession of the exhibit. (See Appendix 4 Sample)
- iii. Any exhibit electronically filed or which is able to be scanned to PDF format by the filer in accordance with the provisions set forth in this Section, shall be included in the electronic Record on Appeal in the Exhibits Section.
- iv. Photographic exhibits shall be scanned and included in the electronic Record on Appeal Exhibits Section. If the photograph is in color, it shall be scanned in color, if possible. Photographs larger than 8 ½ x 11 inches, which cannot be scanned successfully, shall not be included in the electronic record and shall be listed in the Exhibits Table of Contents as required by these Standards. A page shall be inserted in sequential order, identifying the photographic exhibit. (i.e. "Defendant Exhibit #1 –11x16 Color Poster Retained by Circuit Clerk") If the court requests the photographic exhibit, it shall be sent or delivered in original form to the reviewing court clerk and include a paper receipt to be signed by the clerk upon receipt of the exhibits; the receipt shall be returned electronically indicating the date received by the reviewing court clerk. (See Appendix 5 Sample).
- v. Documentary or descriptive exhibits (i.e. video or audio recordings, computer media, discs, flash drives, etc.) shall be sent or delivered in original form to the reviewing court. A page shall be inserted in sequential order, identifying the documentary or descriptive exhibit(s) being sent or delivered by the lower court to the reviewing court (i.e. "Defendant Exhibit #1 Flash Drive sent by mail/delivered to the reviewing court"). The package containing the original exhibit(s) shall include a receipt to be signed by the reviewing court clerk upon receipt of the exhibit(s); the receipt shall be returned electronically indicating the date received by the reviewing court clerk. (See Appendix 5 Sample).

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- vi. Physical exhibits (i.e. clothing, weapons, drugs, charts, maps, photographs, documents, or other items larger than 8 ½ x 11 inches, too large or bulky to include electronically) shall be recorded in the Exhibits Table of Contents. A page describing the exhibit shall be inserted in sequential order, as appropriate. (i.e. "People Exhibit #12 knife retained by Circuit Court Clerk") If the court requests the physical exhibit, it shall be sent or delivered in original form to the reviewing court clerk and include a paper receipt to be signed by the clerk upon receipt of the exhibits; the receipt shall be returned electronically indicating the date received by the reviewing court clerk. (See Appendix 5 Sample)
- vii. Exhibit(s) offered in the circuit court/administrative proceedings, but not admitted, shall be recorded in the Exhibits Table of Contents. (i.e. "People's Exhibit #12 Not Admitted") If the offered but not admitted exhibit is not in the clerk's possession, a page describing it shall be inserted into the exhibits section of the record on appeal in sequential order.

e. Secured Records Section

- i. A Certification of Secured Record page shall be included as the first page and state that the secured record has been prepared and certified in the form required for transmission to the reviewing court. (See Appendix 6 Sample)
- ii. A Secured Record Table of Contents shall be included as Page 2 after the Certification of Secured Record page which includes hyperlinks to each of the three Table of Contents sections of the Secured Record on Appeal: Secured Common Law Record, Secured Report of Proceedings, and Secured Exhibits. The items included in the Secured Record Table of Contents shall be listed in the same manner as are records provided for in this Section. (See Appendix 7 Sample)
- iii. A Table of Contents for each section of the Secured Record shall be listed in the same manner as are records provided in this Section and included immediately before the items contained in that section.
- iv. The administrative agency, court, or clerk is not responsible for content of filed documents and have no obligation to review, redact or screen any confidential information contained in such filings.

f. Supplement to the Record Section

- i. Upon grant of a motion to supplement the Record on Appeal, the reviewing court shall electronically notify the circuit court clerk or administrative agency by copy of the Order.
- *ii.* A Certification of Supplement to the Record page shall be included as the first page and shall state that the supplement to the record has been prepared and certified in the form required for transmission to the reviewing court. (See Appendix 8 Sample)
- iii. A Supplement to the Record Table of Contents shall be included as Page 2 after the Certification of Supplement to the Record page which includes hyperlinks to each of the three Table of Contents sections of the Supplement to the Record on Appeal: Supplement to the Common Law Record, Supplement to the Report of Proceedings Section, and Supplement to the Exhibits Section. The items included in the

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Supplement to the Record - Table of Contents shall be listed in the same manner as items provided for in this Section. (See Appendix 9 Sample)

- iv. The Table of Contents for each section of the Supplement to the Record shall be listed in the same manner as are records provided in this Section and included immediately before the documents contained in that section.
- g. Secured Supplement to the Record Section

Certification, Table of Contents, and pagination of a secured supplement to the record shall be in the same manner as provided in this Section.

4. Assembly of the Record on Appeal

- a. General Provisions
 - i. Each PDF Section shall include bookmarks where possible, immediately viewable when the document is opened, to individual sections and documents in the same order as they appear in the corresponding Table of Contents to facilitate navigation and location of specific contents within the record.
 - ii. At a minimum, pagination shall display on each PDF document of the Record on Appeal at the bottom right-corner of each page.
 - iii. Every page of each section, including certification pages, shall be numbered with the appropriate Section identification: C Common Law Record, R Report of Proceedings, and E Exhibits, followed by the sequential page number. When a section exceeds the preparation limits set in Section 3, second and subsequent series shall display the volume (V) followed by the sequential volume number, immediately following the section identification and page number.
 - iv. Each section of the Record on Appeal shall start with Page 1 and continue sequentially to the last page of that section.
 - v. An indication of secured (SEC) or supplement to the (SUP) record shall be displayed before the section identification, when appropriate. Supplements to the Record on Appeal shall include a sequential volume number in the pagination for second and subsequent supplements to the record (i.e. SUP2, SUP3, etc.).
 - vi. Page numbering samples are as follows:

Record Type	Common Law Record	Report of Proceeding	Exhibits
Original Filing	C 1	R 1	E 1
Original Filing - Multiple Volumes	C 1 V2	R 1 V2	E 1 V2
Supplement to the Record	Sup C 1	Sup R 123	Sup E 223
Additional Supplement to the Record	Sup2 C 1	Sup2 R 123	Sup2 E 223
Secured Record	Sec C 1	Sec R 123	Sec E 223
Supplement to the/Secured Record	Sup Sec C 1	Sup Sec R 123	Sup Sec E 223
Additional Supplement to the/Secured Record	Sup2 Sec C 1	Sup2 Sec R 123	Sup2 Sec E 223

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b. Record on Appeal

- i. The Common Law Record Section shall begin with the Certification Page, followed by the Common Law Record Table of Contents, the record sheet and all remaining pages in sequential order by file-mark date, oldest to most recent.
- ii. The Report of Proceedings Table of Contents shall be the first page of this section, followed by each report of proceeding in sequential order by proceeding date, oldest to most recent.
- iii. The Exhibits Table of Contents shall be the first page of this section, followed by each exhibit in sequential order by date admitted or offered, oldest to most recent.
- iv. When a section contains multiple volumes, the Table of Contents shall be included in its entirety at the beginning of each volume, containing links to only the documents contained in that volume.
- v. Second and subsequent appeals shall be recompiled and renumbered as provided in these Standards.
- c. Supplement to the Record and Secured Records
 - i. Supplement to the record, secured, and secured supplement to the record shall contain all secured and/or supplements to the Record on Appeal and assembled collectively in separate PDF documents as follows: Supplement to the Record on Appeal, Secured Record on Appeal, or Supplement to the Secured Record on Appeal.
 - ii. Records under this subsection 4.c. shall be assembled and ordered as follows:
 - 1. The Common Law Record is the first section and shall begin with the Certification Page, followed by the Record on Appeal Table of Contents, the Common Law Record Table of Contents, and all pages in sequential order by file-mark date, oldest to most recent.
 - 2. The Report of Proceedings Table of Contents shall be included immediately following the Common Law Record Section followed by each report of proceedings in sequential order by proceeding date, oldest to most recent.
 - 3. The Exhibits Table of Contents shall be included immediately following the Report of Proceedings Section, followed by each exhibit in sequential order by date admitted, oldest to most recent.
 - iii. The items contained in the Secured Record, Supplement to the Record, or Secured Supplement to the Record Sections shall be listed in the same order as outlined in Section 3.

5. Transmission of the Record on Appeal

a. Once the Electronic Record on Appeal has been prepared and assembled per these Standards, the circuit court clerk or administrative agency shall transmit all sections of the Electronic Record on Appeal to the respective reviewing court. Transmission of the Secured Record on Appeal shall be transmitted in a separate transaction envelope and labeled as secured through the EFM process.

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- b. Verification shall be provided to the circuit court or administrative agency when the record is delivered. The verification shall include the date and time of the record's delivery.
- c. Filings that do not comply with the format specified by applicable rule, statute or standards, may be rejected. If the filing is rejected by the reviewing court, the e-Filing system must provide a means for the reviewing court clerk to notify the circuit court clerk or administrative agency as to the reason(s) for rejection.
- d. Once the Record on Appeal is filed, the reviewing court clerk shall affix the file stamp, indicating "E-FILED", identification of the reviewing court, the date and time of filing, and clerk's electronic signature. The transmission date and time shall govern the electronic file mark. If the Record on Appeal is transmitted on a day the clerk's office is not open for business, the electronic file mark shall indicate the next business day. Upon the reviewing court clerk's review and validation of the filing, a message shall be transmitted to the circuit court clerk or administrative agency and registered user that the reviewing court clerk has accepted or rejected the electronic transmission.
- e. The court, clerk, or administrative agency shall not be liable for malfunction or errors occurring in the electronic transmission, receipt or access to electronically filed documents.
- f. If a Record on Appeal submitted electronically is rejected or not filed due to exchange malfunction, the court may, upon good cause shown, enter an order permitting the Record on Appeal to be filed effective as of the first date of the attempted filing.

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Appendix 1 – Certification of Record Sample

FROM THE CIRC	TO THE APPELLATE COURT OF ILLINOIS JUDICIAL DISTRICT UIT COURT OF THE JUDICIAL CIRCUIT COUNTY, ILLINOIS
Plaintiff/Petitioner v.	Appellate Court No: Circuit Court No: Trial Judge:
	CERTIFICATION OF RECORD
The record has been prepared and cert It consists of:	cified in the form required for transmission to the reviewing court.
Volume(s) of the	e Common Law Record, containing pages
Volume(s) of the	e Report of Proceedings, containing pages
Volumes(s) of the	ne Exhibits, containing pages
I do further certify that this certification my office this DAY OF	on of the record pursuant to Supreme Court Rule 324, issued out of
	C 1

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Appendix 2 – Common Law Record Table of Contents Sample

	1 ₁	PELLATE COURT OF ILLINOIS UDICIAL DISTRICT T OF THE JUDICIAL CII _ COUNTY, ILLINOIS	RCUIT
	laintiff/Petitioner	Trial Indeed	
V.			
	Defendant/Respondent		
	COMMON LAW RECOR	RD – TABLE OF CONTENTS	
Page of			
Date Filed	Title/Description Record sheet		Page No.
06/18/2014	Information		C 6-C 6
06/18/2014	Entry of Appearance		C 7-C 7
07/16/2014	Amended Information		C 8-C 11

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Appendix 3 – Report of Proceedings Table of Contents Sample

	APPEAL TO THE APPELLA JUDICI FROM THE CIRCUIT COURT OF T	AL DISTRICT	
v.	Plaintiff/Petitioner		To:
	Defendant/Respondent		
	REPORT OF PROCEEDINGS –	TABLE OF CONTI	ENTS
Page of			
	Title/Description Metion to Compal Hearing		ge No.
06/18/2014	Motion to Compel Hearing Sentencing Hearing		2-R 3 I-R 6

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Appendix 4 – Exhibits Table of Contents Sample

EXHIBITS-TABLE OF CONTENTS

Page ____ of ____

Party	Exhibit #	Description/Possession	Page No.
People	1	Bank Statement	E 2-E 8
Defendant	1	Flash Drive - Sent via US Mail on (date)	E 9
People	2	Not Admitted	E 10
People	3	Knife - Retained by Circuit Clerk	E 11

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Appendix 5 – Receipt of Exhibit Sample

	PPELLATE COURT OF ILLINOIS JUDICIAL DISTRICT
FROM THE CIRCUIT COU	RT OF THE JUDICIAL CIRCUIT COUNTY, ILLINOIS
Plaintiff/Petitioner v.	Appellate Court No: Circuit Court No: Trial Judge:
 Defendant/Respondent	
RECEIP	T OF EXHIBIT
received the aforesaid Exhibit from	Appellate Court Clerk, District have, (Clerk of the Circuit Court, ency) and will cause the same to be filed in the rovided by law.
Date Exhibit Received:	., 20
Signature of Appellate Court Clerk: District Appellate Court:	
CERTIFICATE O	F MAILING/DELIVERY
	nder), Clerk of the Circuit Court, Judicial
•	have mailed/delivered the Exhibits to (date mailed/delivered) via very).

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(Clerk of the Circuit Court or Administrative Agency)

	(Create of the chedit court of frammistrative rigoney)
Appendix 6 – Certification of Secure	ed Record Sample
	THE APPELLATE COURT OF ILLINOIS JUDICIAL DISTRICT TOURT OF THE JUDICIAL CIRCUIT COUNTY, ILLINOIS
Plaintiff/Petitioner v.	Appellate Court No: Circuit Court No: Trial Judge:
CERTIFI	CATION OF SECURED RECORD
The secured record has been prepared reviewing court. It consists of:	and certified in the form required for transmission to the
Volume of the Secured Reco	ord on Appeal
pages of the S	Secured Common Law Record Section
pages of the S	Secured Report of Proceedings Section
pages of the S	Secured Exhibits Section
I do further certify that this certification issued out of my office this DAY O	of the secured record pursuant to Supreme Court Rule 324, F, 20
	(Clerk of the Circuit Court or Administrative Agency)
	SEC C 1

(Revised June, 2017)

Appendix 7 – Secured Record Table of Contents Sample

FROM THE CIRCUIT COURT OF	CIAL DISTRICT	
Plaintiff/Petitioner v.		
 Defendant/Respondent		
SECURED RECORD - TA	BLE OF CONTENTS	
Page of		
SECURED COMMON LAW RECORD SECTION		Page SEC C 2 – SEC C 39
SECURED REPORT OF PROCEEDINGS SECTION		SEC R 40 – SEC R 97
SECURED EXHIBITS SECTION		SEC E 98 – SEC E 99

SEC C 2

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Appendix 8 – Certification of Supplement to the Record Sample

FROM THE CIRCUIT	THE APPELLATE COURT OF ILLINOIS JUDICIAL DISTRICT T COURT OF THE JUDICIAL CIRCUIT COUNTY, ILLINOIS
Plaintiff/Petitioner v.	Appellate Court No: Circuit Court No: Trial Judge:
 Defendant/Respondent	
CERTIFICATIO	ON OF SUPPLEMENT TO THE RECORD
The supplement to the record has been pre- reviewing court. It consists of:	epared and certified in the form required for transmission to the
Volume(s) of the Supplement to the	e Common Law Record Section , containing pages
Volume(s) of the Supplement to the	e Report of Proceedings Section, containing pages
Volume(s) of the Supplement to the	e Exhibits Section, containing pages
I do further certify that this certification of 324, issued out of my office this Da	f the supplement to the record pursuant to Supreme Court Rule AY OF, 20
	(Clerk of the Circuit Court or Administrative Agency)
	SUP C 1

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Appendix 9 – Supplement to the Record Table of Contents Sample

	APPELLATE COURT OF I JUDICIAL DISTRICT JRT OF THE JUE COUNTY, ILLINOIS	
Plaintiff/Petitioner v.	Appellate Cour Circuit Court N Trial Judge:	rt No:
Defendant/Respondent		
SUPPLEMENT TO THE R	RECORD - TABLE OF CO	ONTENTS
Page of		
SUPPLEMENT TO THE COMMON LAW RE	CORD SECTION	Page SUP C 2 – SUP C 39
SUPPLEMENT TO THE REPORT OF PROCE	EEDINGS SECTION	SUP R 40 – SUP R 97
SUPPLEMENT TO THE EXHIBITS SECTION	N	SUP E 98 – SUP E 99

SUP C 2