



**CM/ECF Criminal Manual
FOR NEW USERS**

**UNITED STATES DISTRICT COURT
DISTRICT OF MINNESOTA**

Updated: October 20, 2020

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GETTING STARTED

INTRODUCTION

This manual provides instructions on how to use the Electronic Filing System to file documents with the court, or to view and retrieve docket sheets and documents for all cases assigned to this system. Users should have a working knowledge of word processing, web browsers, file management, and Portable Document Format (PDF).

HELP DESK

Contact the court's ECF Help Desk for assistance between the hours of 8:00 a.m. – 4:30 p.m., Monday through Friday.

Local: 612-664-5155

Toll Free: 1-866-325-4975

Email: ecfhelpdesk@mnd.uscourts.gov

ECF INFORMATION AND RESOURCES

For up-to-date information regarding ECF, visit the U.S. District Court's [website](#).

The [Case Information tab](#) provides access to:

- Live login to ECF
- Training Information
- PACER Information
- Electronic Filing Tools
- New Cases
- Transcript Information
- Violation Notices
- Sentencing Information
- Criminal Debt Information
- Statistics
- PACER Fee Exemption Information

REQUIREMENTS

HARDWARE AND SOFTWARE REQUIREMENTS

The hardware and software needed to electronically file, view, and retrieve case documents are the following:

- A personal computer running a standard platform such as Windows or Macintosh.
- A PDF-compatible word processor like Macintosh and Windows based version of Corel WordPerfect or Microsoft Word.
- An Internet Service provider.
- A Web browser.
- Software, such as Adobe Acrobat, to convert documents from a word processor format to

portable document format (PDF).

- Adobe Acrobat Reader, which is available for free, is needed for viewing PDF documents.
- A scanner may be necessary to create electronic images of documents not in your word processing system.

NOTE: Scanning is only used for documents that cannot be produced electronically. Scanned documents lessen the level of service we provide by slowing down the entire system. We are moving away from the utilization of scanned documents internally and ask you do the same whenever possible.

How to View a PDF File

1. Start a PDF program such as Adobe Acrobat.
2. Click **File > Open**.
3. Click the location and file name of the PDF document to be viewed.
4. Adobe Acrobat Exchange loads the file and displays it on the screen.

NOTE: If the displayed document is larger than the screen or consists of multiple pages, use the scroll bars to move through the document. Click the View menu for other options for viewing the displayed document. Choose the option that is most appropriate for the document

How to Convert Documents to PDF Format

The conversion process requires special software such as Adobe Acrobat Writer or FinePrint pdfFactor. Some software (e.g., WordPerfect and Microsoft Word) have Acrobat components built-in or available as add-ins. These can be used to convert documents to PDF.

Once PDF conversion software is loaded on your computer:

1. **Open** the document to be converted.
2. Select **Print** option.
3. **Change** printer option to the PDF choice available.
4. **“Print”** the file. The file will not actually print out; instead the option to save the file as a PDF format file will appear.

NOTE: Make a note of the file location so you can find the document later when you are ready to file it to ECF. Change the location, if necessary, by clicking in the “Save in” area of the window.

NOTE: Depending on the word processing program being used, it may be necessary to find the printer selection option elsewhere. At that point, change the printer to Adobe PDF Writer, and follow the directions above.

5. Name the file, giving it the extension “.PDF” and click the **Save** button.

PDF/A Documents

PDF/A is a standard format that allows for the long-term archiving of electronic documents with

the assurance that the documents will be accessible in the future. CM/ECF will accept both PDF and PDF/A documents.

CENTRAL SIGN-ON (CSO) ACCOUNT

The Central Sign-On functionality in the Next Generation (NextGen) of CM/ECF, allows filers to access PACER and NextGen CM/ECF systems using a single PACER account. Once logged in with a CSO account, admitted attorneys with filing privileges can:

- Electronically file pleadings and documents.
- View official docket sheets and documents.
- View various case related reports.

PUBLIC ACCESS TO COURT ELECTRONIC RECORDS (PACER) ACCESS

PACER is an electronic access service that allows users to obtain case and docket information from Federal Appellate, District and Bankruptcy courts, and from the U.S. Party/Case Index. Attorneys must have an individual PACER account in order to file in the ECF system. All requests for ECF filing privileges are submitted through PACER. You may register for a PACER account [online](#). Your CSO Account is maintained through PACER. Name, address, login, password, and primary email address information can be updated in the “Manage My Account” section of PACER’s website. If you have forgotten your PACER username and/or password, PACER has an automated password reset and username recovery on the PACER login page.

ELECTRONIC CASE FILING (ECF) ACCESS

Existing attorneys (those who were admitted in the District of Minnesota prior to October 5, 2015 and have an active ECF account) will link their ECF account to their individual PACER account for filing access. Please see the [Case Information](#) page for additional information and procedures.

Attorneys seeking admission and filing access must make a request through PACER. Please review the [attorney admissions forms](#) for specific instructions. Please note that pro hac vice and Multi District Litigation (MDL) attorneys also obtain filing access with the court through PACER.

Attorneys will only retain filing access while in good standing with the bar of this court or when admitted pro hac vice. To be in good standing, an attorney must comply with the requirements of [LR 83.6](#), including the timely payment of the re-registration fee due every third year during the court’s re-registration. If you do not re-register with the court, your admission status will become inactive and you will need to re-register with the court to return to good standing and have filing privileges reactivated. After being admitted, attorneys must file a notice of appearance in the case(s) they wish to appear as attorney of record.

STEP-BY-STEP FILING GUIDE

Below is a step-by-step guide for accessing the ECF system, preparing a document for filing, filing a motion or application, and displaying a docket sheet. Before actually filing for the first time, it is recommended to practice filing in the [training database](#).

LOG IN TO ECF/PACER THROUGH CSO (CENTRAL SIGN-ON)

1. Click on the U.S. District Court of Minnesota – Document Filing System link. To access this link either:
 - o Navigate to [PACER](#) and click on File a Case.

PACER Public Access to Court Electronic Records

Register for an Account ▾ Find a Case ▾ File a Case ▾ My Account & Billing ▾ Pricing Help ▾ Search ▾

What can we help you accomplish?

- Search for a Case**
Learn options to find case information.
- Filing Electronically**
Find court specific information to help you file a case electronically and developer resources.
- Manage Your Account**
Create a PACER account or log in to manage your account and pay a bill.
- Move to NextGen CM/ECF**
Is your court migrating to NextGen CM/ECF? Follow these steps to prepare in advance.

OR

- o Navigate to the District of Minnesota’s [website](#) and click on the [E-Filing \(CM/ECF\)](#) link on the left panel.

UNITED STATES DISTRICT COURT
District of Minnesota
Honorable John R. Tunheim, Chief Judge | Kate M. Fogarty, Clerk of Court

Court Information Case Information Jurors Attorneys Representing Yourself New Citizens

Coronavirus (COVID-19) Guidance
All court information regarding the Coronavirus (COVID-19) response can be accessed by clicking [here](#).

Case Locator (PACER) »
E-Filing (CM/ECF) »
E-Juror »
eVoucher (CJA) »


"Innovation Sensation" workshop put on by the Court and the Intellectual Property Committee of the Federal Bar Association.

2. Enter your **PACER/CSO Username** and **Password** in the appropriate entry fields.
Note that the **Client Code** is an optional field that can be used for organizing your monthly bill to associate costs specific to clients.
3. Check the box confirming you will comply with the redaction rules. Click **Continue** and the main ECF screen will appear.

ECF MENU OPTIONS

The following options are accessible from the menu bar at the top of the main window.



Option	Use this option to:
Civil	Electronically file all civil case pleadings, motions, and other court documents.
Criminal	Electronically file all criminal case pleadings, motions, and other court documents.
Query	Search by specific case number, party name, or nature of suit to retrieve documents that are relevant to the case. You will incur PACER search fees.
Reports	Retrieve docket sheets and cases-filed reports. You will incur PACER search fees.
Utilities	View your personal ECF transaction log and maintain secondary email addresses for noticing purposes.
Search	Use to find and get to the menu option or docket event that you need. Type in a partial or full word and a complete list of menus and events containing the word is displayed. The items appearing are links to the filing of the event.
Logout	Sign out of ECF/PACER and prevent any filing with your password until the next time you log in.
	See a help file for the screen you are viewing.

LOGOUT OF THE LIVE SYSTEM

After you have completed all transactions for a particular session in ECF, you should exit from the system.

1. Click **Log Out**.
2. A pop-up message will appear stating: “Although you have logged out from CM/ECF, data remains in the browser’s memory (and might be available to someone else using your PC). Please close your browser now to clear this data.” **Click OK**.

GENERAL INFORMATION

GENERAL RULES AND MANIPULATIONS

Correcting a Mistake

Up until the filing has been completed, users can click the **Back** button on the browser toolbar to go back and correct an entry made on a previous screen. Once the document is transmitted to the court, only the court can make changes or corrections.

Signatures

A pleading or other document requiring a signature must be signed in the following manner:

s/Pat Attorney
Pat Attorney
Bar Number 12345
Attorney for (Plaintiff/Defendant) XYZ Company
ABC Law Firm
123 South Street
Minneapolis, MN 55415
Telephone: (612) 555-5555
Fax: (612) 555-5554
emailaddress@domain.com

Stipulations

The following procedure applies when a stipulation or other document (e.g., a joint motion, joint exhibit list, and 26(f) report) requires two or more signatures:

1. The filer must initially confirm that the content of the document is acceptable to all signatories by obtaining their original signatures to the document.
2. The filer then must file the document electronically, indicating the signatories with an "s/signature" (e.g., "s/Jane Doe," "s/John Smith," etc.) for each signatory.

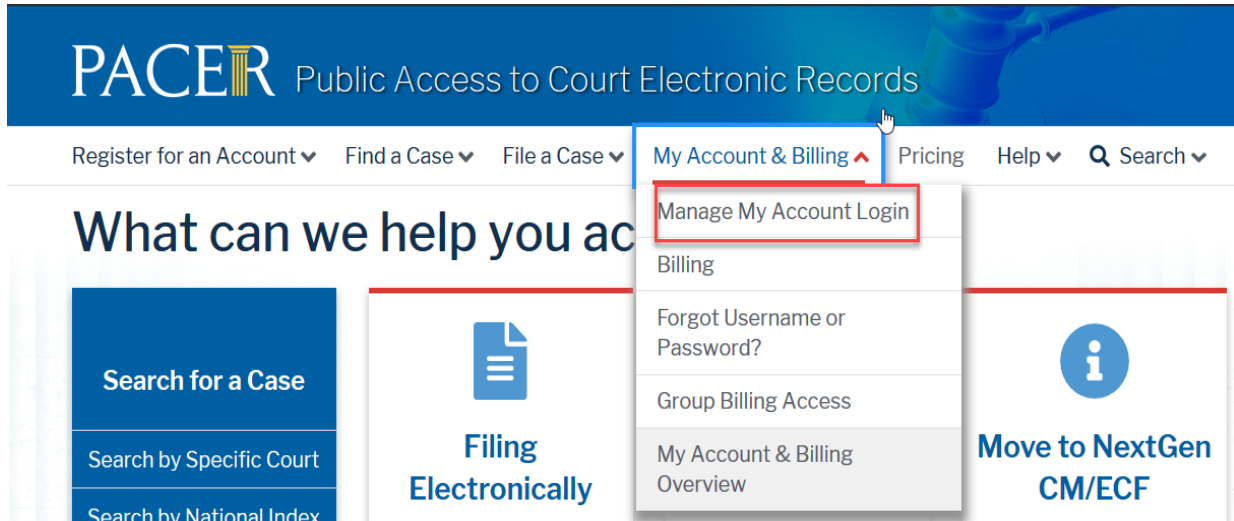
By filing the document the attorney certifies that: (1) the document has been signed by all necessary people, including affiant and notary, if applicable, and (2) the ink signed originals exist and will be available in their offices for inspection.¹ Documents containing original signatures must be filed electronically with originally executed copies maintain by the filer until after final resolution of the action, including final disposition of all appeals.

3. Any party who disputes the authenticity of an electronically filed document containing multiple signatures or the authenticity of the signatures themselves must file an objection to the document within 14 days of service of the document. Upon request, the document must be made available for review.

¹ This procedure applies when the third-party document exists on the computer of the attorney or client. If so, after obtaining the ink signatures on a paper copy, the filer should affix "s/ signature(s)" to the word processing version, convert the document to PDF, and upload it in ECF. If the document is not available in electronic format, the ink signed paper version may be scanned and filed in ECF. Scanning, however, is not the preferred method.

MAINTAINING YOUR ACCOUNT

All account information, other than secondary email addresses, is held in your CSO account and can be accessed through the **Manage My Account** option on PACER's [website](#). It is each attorney's responsibility to keep the account information up to date.



EMAIL INFORMATION

The primary email address is added and updated through PACER. Secondary email addresses are only added and updated through ECF. Email addresses are used for Notices of Electronic Filing (NEFs). It is recommended that all accounts include a primary email address and at least one secondary email address for the purpose of receiving NEFs.

NOTE: With the implementation of the new Central Sign-On functionality in NextGen CM/ECF, filers now access PACER and NextGen CM/ECF systems using a single PACER account. If attorneys share these account credentials with a third-party service provider, the provider will be able to access restricted documents (including sealed documents) to which the filer has access. If the third-party service providers place the restricted documents they obtain in internet repositories, other users of the third-party service or software may access the documents and/or make them publicly available. Once an attorney obtains ECF filing access, the attorney is responsible for all documents filed using the attorney's username and password and is subject to Rule 11 sanctions ([Fed. R. Civ. P. 11](#)).

Updating Primary Email

1. Navigate to [PACER](#). Note that this can also be accessed through ECF by clicking on **Utilities>Manage your PACER Account**.
2. Click on **My Account & Billing**.
3. Click on **Manage My Account** and Login.
4. Click the **Maintenance** tab.

5. Click **Update E-Filer Noticing and Frequency**.
6. **Check the box** to apply your changes to the District of MN.
7. Enter and confirm the **Primary Email Address**, select frequency and format preferences and click **Submit**.
8. You will get a confirmation screen. Click **Close**.

Updating/Adding Secondary Emails

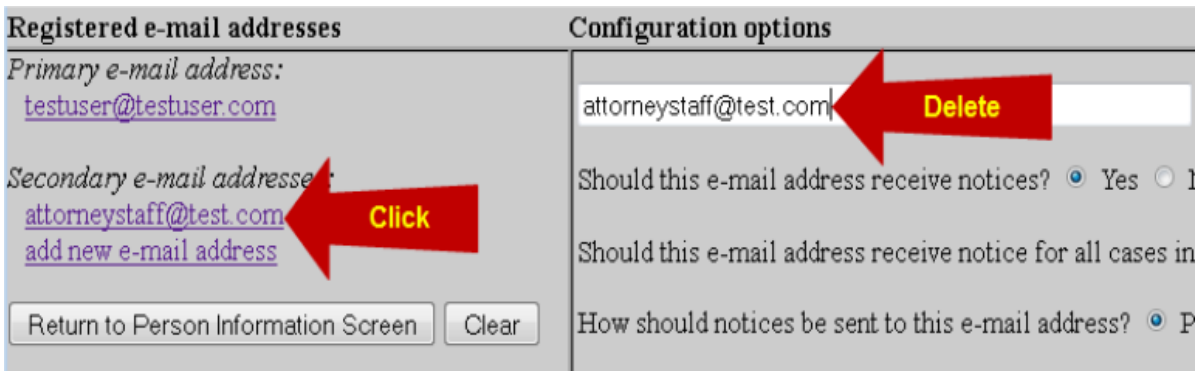
1. Click **Utilities>Your Account>Maintain Your Account**.
2. Click **Email information** at the bottom of the screen.
3. If a primary email address is listed, skip to step 5. If no primary email address is listed, click **add new e-mail address**. **Note that although primary email addresses are maintained through PACER, there must be one listed in ECF in order to add secondary addresses.** Enter the account’s PRIMARY email address. Once an address is entered, the secondary email address options will appear on the left.
4. Click **add new e-mail address** under **Secondary e-mail addresses**.
5. Enter the **secondary email address** and change the configuration options if desired. Note that multiple secondary email addresses can be added by clicking on **add new email address**.

Configuration Options

Option	Description
Should this email address receive notices?	For the primary email address, the default is Yes. If set to No, the primary email address will not receive NEFs – this is NOT recommended.
How should notices be sent to this email address?	<p><u>Per Filing</u>: Email sent for each individual filing.</p> <p><u>Summary Report</u>: One daily email listing all transactions for that day, sent on the following day.</p> <p>NOTE: If the Summary Report is selected, an additional prompt appears, “Should this email address receive a ‘no activity’ notice when no summary noticing occurs?”</p> <ul style="list-style-type: none"> ● Yes: an email will be sent with the message, “no transactions found for this time period” when no activity occurs in the cases for which the user is configured to receive summary notices. ● No: no email will be sent unless there were filings.
In what format should notices be sent to this email address?	<u>Controls the format of the emails – HTML is generally preferred.</u>

<p>Should this email address receive general announcement notices from this court?</p>	<p>The court prefers that users select Yes so that they will receive email notifications regarding important ECF system information such as down-times and upgrades.</p>
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- To **remove** a **secondary email address**, click on the address on the left and delete it in the text box on the right.



- After all changes have been made, click **Return to Person Information Screen**. DO NOT use the Back button in your browser-information will not be saved.
- You will return to the main account maintenance screen. Click **Submit** to save changes. A confirmation screen will appear.
- If the Clerk’s Office receives a “bounce back” (i.e., an undeliverable e-mail) notice from a Registered User’s primary or secondary e-mail account, no follow up will occur by Court staff. It is the Registered User’s responsibility to update all information as it pertains to the user’s account.
- Continue working in ECF by clicking on any menu item at the top.

VIEW YOUR TRANSACTION LOG

As a free service, ECF filers may view their transaction logs. This may be helpful to verify all transactions entered are reflected in the system, and that no unauthorized individuals have entered transactions into ECF.

1. Click **Utilities>Your Account>View Your Transaction Log**.



2. Enter the **Date Parameters** and click **Run Report**.

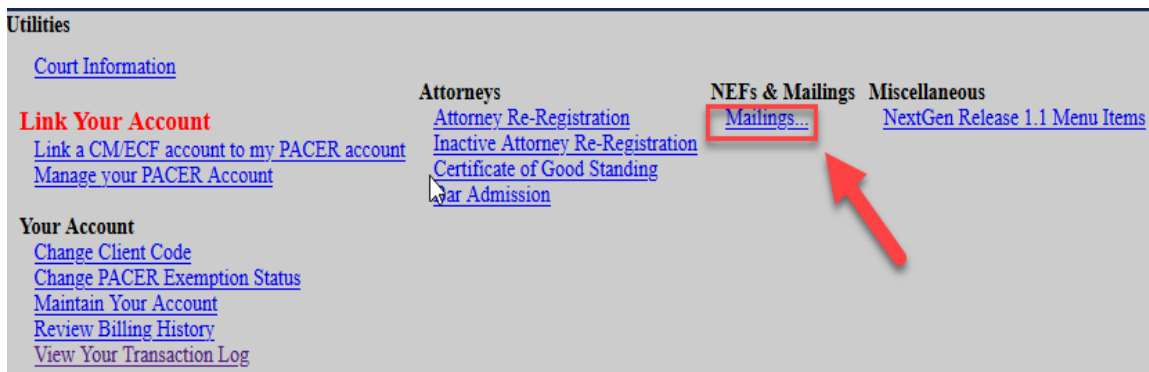
The screenshot shows the 'View Transaction Log' form. It has a title 'View Transaction Log' and a subtitle 'Enter the Date Selection Criteria for the Transaction Log Report'. There are two input fields: 'Start Date: 6/1/2020' and 'End Date: 7/14/2020'. Below the fields are two buttons: 'Run Report' and 'Clear'.

3. A list of transactions occurring during the designated dates will appear.

MAILING INFORMATION FOR A CASE

Attorneys can check ECF to see if a party is registered to receive email noticing in ECF.

1. Select **Utilities>NEFs & Mailings>Mailings**.



2. Click **Mailing Info for a Case**.
3. Enter the desired **case number** and click **Submit**.
4. A window will appear listing mailing information for the case.

Note that any names listed under the **Manual Notice List** need to be **noticed conventionally**.

FILING DOCUMENTS FOR CRIMINAL CASES

There are eight basic steps involved in filing a document. These are essentially the same for each event filed in ECF:

1. Select the type of document to file.
2. Enter the case number in which the document is to be filed.
3. Designate the party filing the document.
 - **IMPORTANT:** If the case has multi-defendants, be sure to **only** select the defendant you represent and on who behalf you are filing the pleading for.

The screenshot shows the CM ECF Motions page. At the top, there is a navigation bar with links for Civil, Criminal, Query, Reports, Utilities, Search, Help, and Log Out. Below the navigation bar, the page title is "Motions". A prominent red "WARNING!" message is displayed, stating: "Select ONLY the appropriate individual defendant case(s) for which the motion is being filed. Selecting the master (top) criminal case number on the next screen will result in a motion filed for ALL defendants." Below the warning, there is a section titled "Criminal Case Number" with a text input field containing "0:20-cr-10-2" and a "Hide Case List" button. Underneath, it says "Select a case:" followed by a list of cases with checkboxes:

- 0:20-cr-00010-NEB-HB USA v. Doe et al
- 0:20-cr-00010-NEB-HB-1 John Doe
- 0:20-cr-00010-NEB-HB-2 Jane Doe
- 0:20-cr-00010-NEB-HB-3 Sue Smith

 The third case, "0:20-cr-00010-NEB-HB-2 Jane Doe", is highlighted with a red box. At the bottom of the form, there are "Next" and "Clear" buttons.

- Please do **NOT** select the box next to the master case, unless you are filing the pleading on behalf of *ALL* defendants.
4. Specify the PDF file name and location for the document to be filed.
 5. Add attachments, if any, to the document being filed.
 6. Modify docket text as necessary.
 7. Submit the pleading to ECF.
 8. Receive notification of electronic filing.

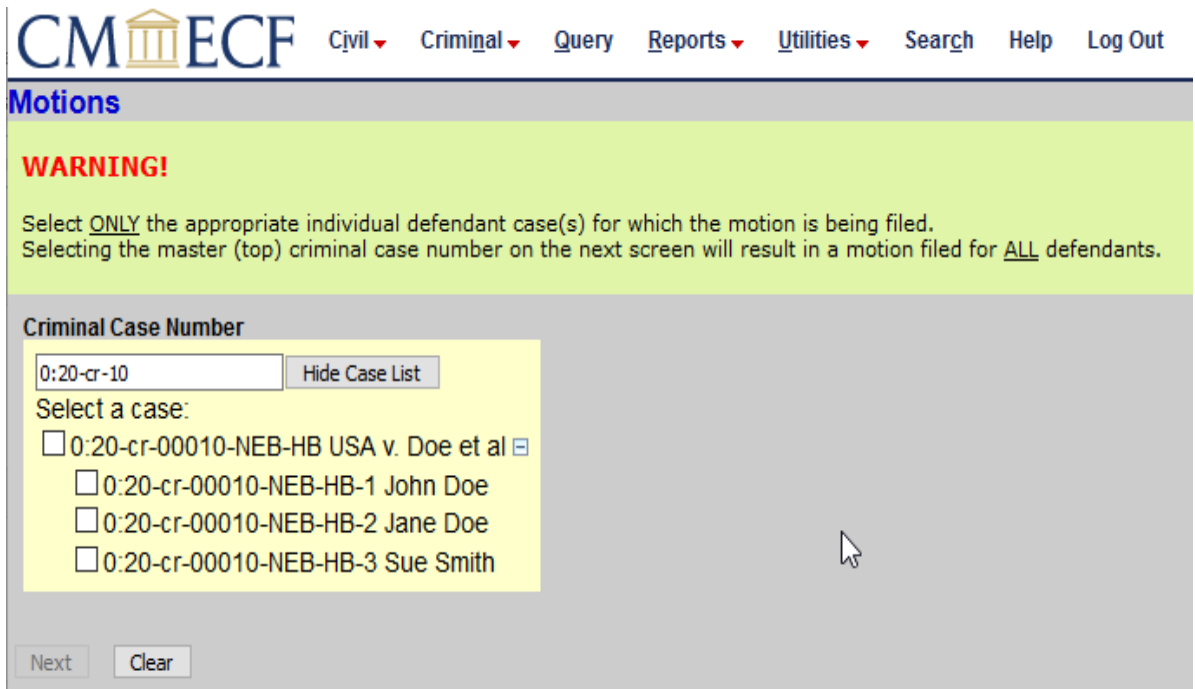
FILING A MOTION

Select the appropriate menu from the ECF Menu Bar for filing:

1. Click **Criminal>Motions and Related Filings>Motions.**



2. Read the **ECF Filing Tip** and click **Next**.
3. Enter the **case number** and click **Next**.



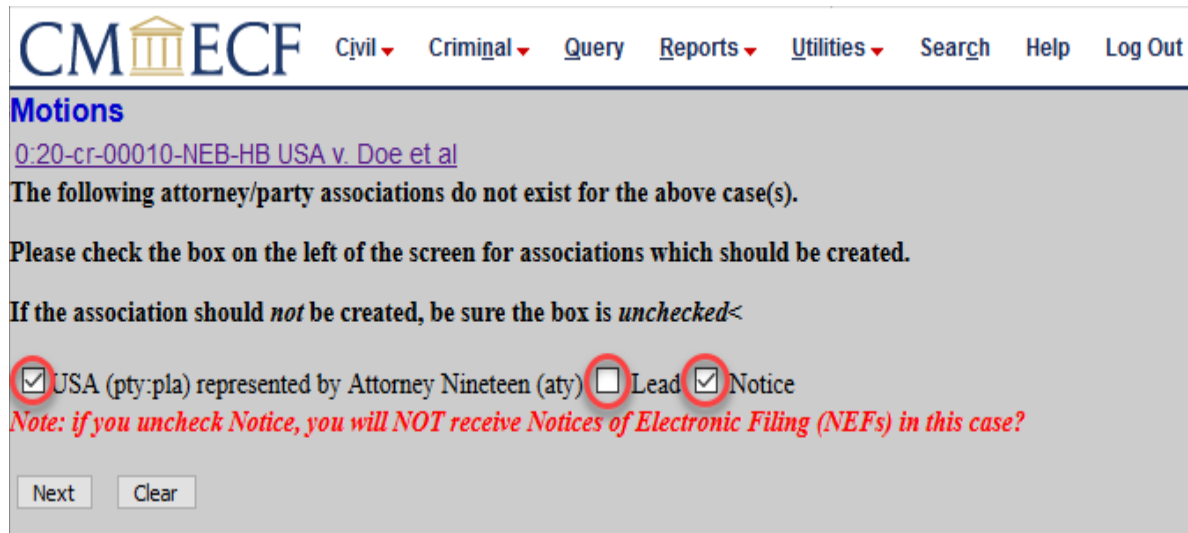
If...	Action	Then
Multi-Defendant Case	List of all defendants appears	Important: Click the box next to the defendant you represent and on whose behalf you are filing the pleading for. Please do NOT select the box next to the master case, otherwise you will be filing the pleading on behalf of all defendants. Click Next.
Number is entered correctly, click	Find This Case	Click Next
Number is entered incorrectly, click	Clear	Re-enter number, click Find This Case
Invalid case number message appears, click	Back	Re-enter number, click Find This Case
Multiple case numbers match the one entered	Another window appears	Click on the specific case number you are filing in

4. Click on the **party(s)** filing the document, click **Next**.

NOTE: If you represent multiple defendants you may select multiple parties by holding down the control key while pointing and clicking on each party of the group.

A Notice of Appearance needs to be filed in order for the attorney to be added to the case per the [Electronic Case Filing Procedures Guide – Criminal Cases](#).

If this is the first time the attorney is filing in the case, the following window will appear. It is necessary to create the attorney/party association as follows:



The screenshot shows the CM/ECF web interface. At the top, there is a navigation bar with the CM/ECF logo and menu items: Civil, Criminal, Query, Reports, Utilities, Search, Help, and Log Out. Below the navigation bar, the page title is "Motions" and the case name is "0:20-cr-00010-NEB-HB USA v. Doe et al". The main content area contains the following text: "The following attorney/party associations do not exist for the above case(s). Please check the box on the left of the screen for associations which should be created. If the association should not be created, be sure the box is unchecked". Below this text, there are three checkboxes: "USA (pty:pla) represented by Attorney Nineteen (aty)", "Lead", and "Notice". The "USA (pty:pla) represented by Attorney Nineteen (aty)" and "Notice" checkboxes are checked, and the "Lead" checkbox is unchecked. A red note below the checkboxes reads: "Note: if you uncheck Notice, you will NOT receive Notices of Electronic Filing (NEFs) in this case?". At the bottom of the form, there are two buttons: "Next" and "Clear".

(Necessary)

5. **Check** the box in front of the **party's name** to link the attorney and party together.

(Optional)

6. **Check** the box in front of **Lead** if attorney is lead attorney.

(Necessary)

7. **Check** the box in front of **Notice** to receive notification when any documents are filed in this case.
8. Click **Next**.

The following window will appear:

9. Click the type of motion being filed. It will appear on the right side of the window, click **Next**.

NOTE: An alternative when looking for the motion to select, type a portion of the event name to reduce the length of the event list.

10. Click **Browse** to attach the appropriate Main Document.

NOTE: You must attach an electronic copy of the actual pleading during these steps. All documents filed in ECF MUST be in PDF format.

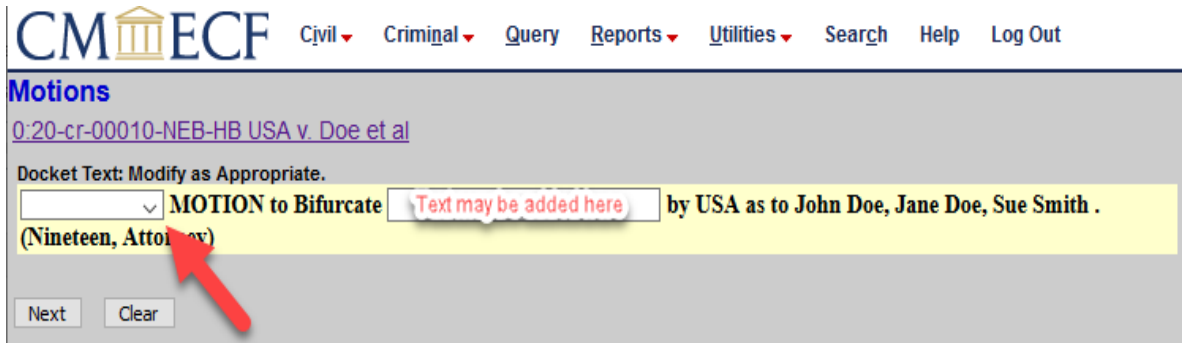
Please refer to the [Electronic Case Filing Procedures Guide – Criminal Cases](#) for additional information.

11. Click on the **file name** and click **Open** (or double-click on the file) to link it to the filing.

NOTE: It is recommended for the user to verify the correct document has been selected before linking it to the filing. To do so, right-mouse click on the selected file. A short-cut menu will appear. Click **Open**. Adobe Acrobat or Reader will open the PDF document. View and confirm document to be filed. Close the Adobe program.

12. If applicable, add **Attachments**, click **Next**.

13. If necessary, click the drop-down arrow or in the white Docket Text field to **modify the docket text**, click **Next**.



The screenshot shows the CM/ECF Motions page for case 0:20-cr-00010-NEB-HB USA v. Doe et al. The page title is "Motions". Below the case name, it says "Docket Text: Modify as Appropriate." The docket text field contains the text "MOTION to Bifurcate" followed by a white text box containing "Text may be added here" and then "by USA as to John Doe, Jane Doe, Sue Smith . (Nineteen, Attorney)". A red arrow points to a small drop-down arrow icon on the left side of the docket text field. Below the docket text field are "Next" and "Clear" buttons.

14. Confirm information in window, click **Next** to submit the Motion.

NOTE: This is the last screen to view before submitting the pleading. If corrections need to be made, click the Back button to locate the desired window in which changes are needed. To abort this filing event, click any item on the blue menu bar.

15. The Notice of Electronic Filing window appears:

The screenshot shows the CM/ECF Motions page. At the top, there is a navigation bar with the CM/ECF logo and links for Civil, Criminal, Query, Reports, Utilities, Search, Help, and Log Out. Below the navigation bar, the page title is "Motions" and the case name is "0:20-cr-00010-NEB-HB USA v. Doe et al". The court information is "U.S. District Court" and "U.S. District of Minnesota". The section is titled "Notice of Electronic Filing". The text states: "The following transaction was entered by Nineteen, Attorney on 8/3/2020 at 2:50 PM CDT and filed on 8/3/2020". The case details are: Case Name: USA v. Doe et al; Case Number: 0:20-cr-00010-NEB-HB; Filer: USA; Document Number: 23. The docket text is: "MOTION to Bifurcate by USA as to John Doe, Jane Doe, Sue Smith. (Nineteen, Attorney)". Below this, it says "0:20-cr-00010-NEB-HB-1 Notice has been electronically mailed to:" followed by two email addresses: "Attorney Mndtest Nineteen attymnd+19@gmail.com" and "Jeffrey Amy H Paulsen mary_grzybek@mnd.uscourts.gov".

NOTE: The Notice of Electronic Filing (NEF) confirms the completion of this filing event and that it has been accepted by the ECF system.

This pleading is now an official court document.

From this point forward, this informative note will not be included in the documentation, and the NEF step will only be listed; the screen shot will not be included.

FILING A MEMORANDUM OF LAW

1. Click **Criminal>Motions and Related Filings>Supporting Documents and Responses**



2. Review the ECF Filing Tip and click **Next**.
3. Review the ECF Restriction Notice and click **Next**.
4. Enter the **case number** and click **Next**.

NOTE: ECF will automatically populate the case number after the case number has been initially entered. Continue filing the Memorandum or abort the filing by clicking on the Criminal menu to restart this event.

5. Confirm case number, click **Next**.
6. **Click** the type of memorandum being filed. It will appear on the right side of the window, click **Next**.
7. **Click** on the party(s) filing the document, click **Next**.

NOTE: A Notice of Appearance needs to be filed in order for the attorney to be added to the case per the [Electronic Case Filing Procedures Guide – Criminal Cases](#).

8. Click **Browse** to attach the Main Document, click **Next**.

9. Click in the box to select the event to which this memorandum relates, click **Next**.

CM/ECF Civil Criminal Query Reports Utilities Search Help Log Out

Responses & Replies

[0:20-cr-00010-NEB-HB USA v. Doe et al](#)

Select the appropriate event(s) to which your event relates:

0:20-cr-00010-NEB-HB John Doe

- 01/22/2020 [9](#) MOTION for Extension of Time to File by John Doe. (MME) *(Terminated)*
- 01/23/2020 [12](#) MOTION for Extension of Time to File by John Doe. (MME) *(Terminated)*
- 02/03/2020 [14](#) MOTION for Extension of Time to File by John Doe. (MME) *(Terminated)*
- 02/14/2020 [15](#) MOTION for Continuance by John Doe as to John Doe, Jane Doe, Sue Smith. (MME)
- 02/14/2020 [16](#) MOTION to Exclude Time Under the Speedy Trial Act by John Doe as to John Doe, Jane Doe, Sue Smith. (MME)
- 08/03/2020 [23](#) MOTION to Bifurcate by USA as to John Doe, Jane Doe, Sue Smith. (Nineteen, Attorney)

10. If necessary, click in the white **Docket Text field** to modify the docket text, click **Next**.
11. Confirm information in window, click **Next** to submit the Memorandum.

NOTE: This is the last screen to view before submitting the pleading. If corrections need to be made, click the Back button to locate the desired window in which to make changes. To abort this filing event, click any item on the blue menu bar.

12. The Notice of Electronic Filing will appear.

FILING A PROPOSED ORDER

In addition to filing the Proposed Order in ECF, a copy of the Proposed Order must be emailed to chambers in word processing format.

1. Select **Criminal>Motions and Related Filings>Supporting Documents and Responses**



2. Review the ECF Filing Tip and click **Next**.
3. Review the ECF Restriction Notice and click **Next**.
4. Enter the case number and click **Next**.
5. A screen will appear with the case name and number. Confirm the information is correct and click **Next**.
6. Select **Proposed Order to Judge re Motion** and click **Next**.
7. Click on the party(s) filing the document, click **Next**.
8. Confirm the correct defendant(s) is selected, click **Next**.
9. Click **Browse** to attach the appropriate Main Document, click **Next**.
10. Select the appropriate motion to which your proposed order relates, click **Next**.
11. Click **Next**.
12. Confirm information in window, click **Next** to submit the filing.
13. The NEF window will appear.

FILING A POSITION ON SENTENCING

In this illustration, the *ECF Search Feature* will be used to locate Other Documents (the appropriate event) in which to file the Position on Sentencing. This option may help to increase efficiency for the Filer and the Court. The Search Feature may be used to locate any criminal filing event.

To use the Search Feature:

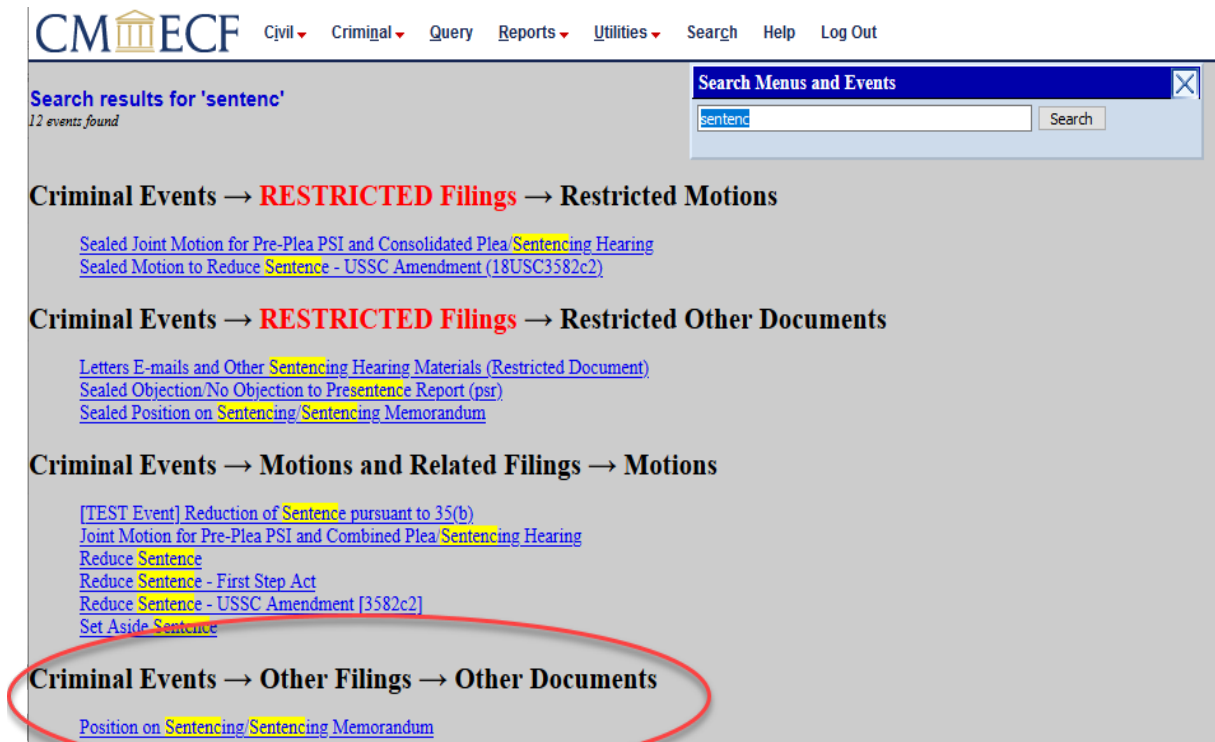
1. Click **Search**.

The Search Menus and Events box will appear:



2. Enter in part or all of desired search text, click the **Search** button.

The following window will appear listing the menus containing the result of the text search:



3. Click on the appropriate Event Menu link to begin filing the Position on Sentencing.
4. Enter in the case number.
5. Click **Find This Case**.

6. Click **Next**.
7. A screen will appear with the case name and number. Confirm the information is correct and click **Next**.
8. Confirm the correct defendant(s) is displayed.
9. Click **Browse** to locate the appropriate document, click **Next**.
10. Click on the party(s) filing the document, click **Next**.

NOTE: A Notice of Appearance needs to be filed in order of for the attorney to be added to the case. See the [Electronic Case Filing Procedures Guide – Criminal Cases](#) for more information.

11. If necessary, click in the white **Docket Text field** to modify the docket text, click **Next**.
12. Confirm information in window, click **Next** to submit the filing.
13. The NEF window will appear.

FILING A CERTIFICATE OF SERVICE

Pursuant to [Fed. R. Crim. P. 49\(a\)\(3\)](#) service is completed by filing a document in ECF to a registered user.

If service is not made through ECF, the filing party must file a certificate of service in ECF. The certificate must state how service or notice was accomplished on each party so entitled.

Filers are required to serve copies of any electronically filed pleading, document, or proposed order to parties not serviced electronically by ECF according to the [Federal Rules of Criminal Procedure](#).

Certificates of Service can either be filed as: (a) an attachment in ECF during a filing or (b) a separate filing. If the certificate of service is filed as an attachment to a filing, the filer must first find out ahead of time who:

- will receive the filing by e-mail.
- must receive hard copies of the filing.

To determine the party mailing information, click **Utilities>Mailings>Mailing Info for a Case**.

1. Click **Criminal>Other Filings>Service of Process**.



2. Read the ECF Filing Tip and click **Next**.
3. Enter or confirm the case number, click **Next**, confirm case number again, click **Next**.
4. Click the **Certificate of Service**, click **Next**.
5. Click **Browse** to locate the appropriate document, click **Next**.
6. Select the filing party(s), click **Next**.
7. Check the box next to the appropriate event(s) to which your Certificate of Service relates, click **Next**.
8. Confirm information in window, click **Next** to submit the Certificate of Service.
9. The NEF window will appear confirming the filing.

ADDITIONAL INFORMATION REGARDING ECF

SEALED DOCUMENTS

For more details about filing under seal, please refer to the Filing Documents Under Seal section of the [Electronic Case Filing Procedures Guide – Criminal Cases](#) and the [Sealed Criminal User’s Manual](#) for more information.

DOCUMENTS FILED IN ERROR

A document incorrectly filed in a case may result from: a) uploading the wrong PDF file to a docket entry; b) entering the wrong case number and not discovering the error before completing the transaction; or c) selecting the wrong document type from the menu.

Uploading the Wrong PDF File to a Docket Entry or Entering the Wrong Case Number

After a document is filed electronically, corrections to the docket must only be made by the Clerk’s Office. ECF will not permit the filer to make changes to the document(s) or docket entry once the transaction has been submitted.

Documents filed in error in the correct case (e.g., wrong version of the document attached, wrong event code, etc.) must remain part of the record as filed. Upon discovery of error, the filer must: Call the Clerk’s Office Help Desk at 612-664-5155 or 1-866-325-4975. Clerk’s Office staff will edit the docket text of the incorrect entry indicating “DOCUMENT FILED IN ERROR” in all caps at the beginning of the docket entry. The user should immediately file the correct document in the case in ECF and modify the title of the pleading as appropriate (e.g., “Amended”, “Substituted”, “Corrected”).

If a document is filed in the wrong case, the filer must immediately call the Help Desk at 612-664-5115 or 1-866-325-4975. The Clerk’s Office will edit the docket text of the incorrect entry indicating, “DOCUMENT FILED IN ERROR” in all caps at the beginning of the docket entry. The user should then file the document in the correct case.

Selecting the Wrong Document Type

In the event you selected and highlighted a file that is *not* in PDF format, ECF will display the following error message after you click on the **Next** button.

CM ECF Civil Criminal Query Reports Utilities Search Help Log Out

Service of Process

[0:20-cr-00010-NEB-HB USA v. Doe et al](#)

ERROR: Document is not a well-formed PDF document (no further information is available).

Error File: C:\fakepath\TEST Document1.docx

Submitted Entries

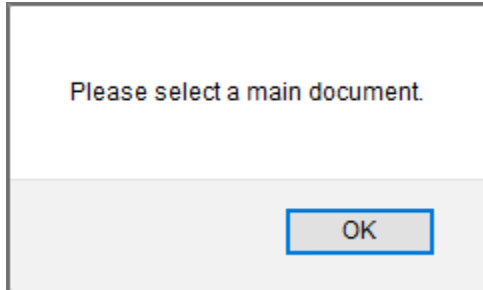
File Type	Filename	Category	Description
Main Document	C:\fakepath\TEST Document1.docx	-	-

Back

1. ECF will not permit you to select a file for your pleading that is not in PDF format.
2. Click on the **Back** button and ECF will return to the attachment screen.
3. Select and highlight the PDF file of your pleading and proceed as before.

Failure to Select a Document to File

If you fail to select a document to file with your pleading, ECF will display the error message depicted below.



If you click **OK** from the screen depicted above ECF will return you to the Attachments screen. You cannot proceed without attaching a PDF document.

ATTACHMENTS AND ATTACHMENT SIZE

Attachments electronically filed must be less than 35 MB or 35,840 KB in size, after the document has been converted to PDF.

Attorneys may seek leave of the court to file conventionally if attachments and exhibits are voluminous. Refer to the Leave to File Conventionally section of the [Electronic Case Filing Procedures Guide – Criminal Cases](#) for mor details on this matter.

NOTE: For moderate length proper attachments, consider dividing them into two or more smaller attachments, scanning, and filing them electronically.

VIEWING RESTRICTED FILINGS IN ECF

Documents electronically filed in ECF may have different restriction levels, i.e. sealed, court only, applicable party, or ex parte. When both the document and the docket entry are restricted, the docket report will have skipped document numbers. A text only entry will indicate that the document is restricted and identify its docket number.

If a user does not have appropriate access to view a restricted document, when clicking on the document number, the user will be prompted with a message stating the document is not available, or you do not have permission to view this document.

If a document is restricted and the user has appropriate access to it, when clicking the on the document number the user will be prompted for his/her CSO login. This is simply a security measure to ensure that the user has proper access to view the document(s).

PACERS FEE WINDOWS

When accessing or printing a document that incurs PACER fees, a Transaction Receipt table appears at the bottom of the window. This table provides the total charges billed.

PERSONAL IDENTIFIERS

Under [Fed. R. Crim. P. 49.1\(a\)](#), unless the court orders otherwise, an electronic or paper filing with the court that contains an individual's social-security number, taxpayer-identification number, or birth date, the name of an individual known to be a minor, or a financial-account number, or the home address of an individual, the party or nonparty making the filing may include only:

- The last four digits of the social-security number and taxpayer-identification number;
- The year of the individual's birth;
- The minor's initials;
- The last four digits of the financial-account number; and
- The city and state of the home address.

In addition, exercise caution when filing documents that contain the following:

- Personal Identifying Number (e.g., driver's license number);
- Medical Records, Treatment and Diagnosis;
- Employment History;
- Individual Financial Information; and
- Proprietary or Trade Secret Information.

Under [Fed. R. Crim. P. 49.1\(b\)](#), the redaction requirements do not apply to the following:

1. A financial-account number or real property address that identifies the property allegedly subject to forfeiture in a forfeiture proceeding;
2. The record of an administrative or agency proceeding;
3. The official record of a state-court proceeding;
4. The record of a court or tribunal, if that record was not subject to the redaction requirement when originally filed;
5. A filing covered by [Rule 49.1\(d\)](#); and
6. A pro se filing in an action brought under [28 U.S.C. §§ 2241, 2254, or 2255](#).
7. A court filing that is related to a criminal matter of investigation and that is prepared before the filing of a criminal charge or is not filed as part of any docketed criminal case;
8. An arrest or search warrant; and
9. A charging document.

Pursuant to [Fed. R. Crim. P. 49.1](#), in addition to filing a redacted version of the document in ECF, a party filing a document contain personal identifiers may also file:

1. An unredacted copy of the document under seal without seeking leave of the court in accordance with the Conventional Filing of Documents section of the [Electronic Case Filing Procedures Guide – Criminal Cases](#) regarding filing documents under seal; or
2. A reference list under seal without seeking leave of the court in accordance with the Conventional Filing of Documents section of the [Electronic Case Filing Procedures Guide – Criminal Cases](#) regarding filing documents under seal. The reference list must contain the complete personal identifier(s) and the redacted identifier(s) used in its place in the filing.

To File Documents Containing Personal Identifiers:

1. File the redacted version of the document electronically in ECF.
2. If filing an unredacted original under seal, the filer must:
 - Clearly state one of the following in the document heading:
 - SEALED PURSUANT TO FED. R. CRIM. P. 49.1 – UNREDACTED ORIGINAL (Redacted Document filed in ECF as Document # [number]); or
 - SEALED PURSUANT TO FED. R. CRIM. P. 49.1 – REFERENCE LIST (Redacted Document filed in ECF as Document # [number]).
 - File the sealed unredacted original or reference list electronically in ECF.

Mail or deliver TWO COURTESY COPIES (with a copy of the NEF) of the **sealed** document, as required by the Courtesy Copies section of the [Electronic Case Filing Procedures Guide – Criminal Cases](#), to the District or Magistrate Judge handling the matter in a separate envelope.

The **sealed** document shall be served conventionally, with a copy of the Notice of Electronic Filing (NEF), by the filer on parties who are entitled to service. The NEF of the court's receipt of these documents shall not constitute service.

Sample of Reference List of Personal Identifiers Redacted

**UNITED STATES DISTRICT COURT
DISTRICT OF MINNESOTA**

[Plaintiff's Name] Case Number: *[Case Number]*

Plaintiff(s)

v.

[Defendant's Name] **REFERENCE LIST OF
PERSONAL IDENTIFIERS
FILED UNDER SEAL PURSUANT TO THE
FED. R. CIV. P. 5.2 AND
FED. R. CRIM. P. 49.1**

Defendant(s)

The following personal identifiers have been redacted pursuant to the Fed. R. Civ. P. 5.2 and Fed. R. Crim. P. 49.1. Below is a listing of the complete personal identifier and its corresponding partially redacted version. The redacted version will be used in lieu of, and shall be construed to refer to, the corresponding complete identifier in filings in the above referenced case.

Description of Identifiers Redacted	Complete Identifier	Partially Redacted Identifier
Social Security Number	123-45-6789	XXX-XX-6789
Financial Account Number	987-66-54-321	XXX-XX-X4-321
Name of Minor Child	Jane Doe	J.D.
Date of Birth	07-04-2004	2004
Home Address <small>(criminal cases only)</small>	123 Main St Smithville, MN 12345	Smithville, MN

CREATING AN APPENDIX WITH DOCUMENT LINKS

A set of radio button options labeled Include documents in Appendix and Include document hyperlinks in Appendix appear at the bottom of the Docket Report. These options allow users to indicate if the PDF documents they selected for inclusion in the appendix docket sheet should be appended to the docket sheet or if hyperlinks to those documents should be included instead.

Options for Creating an Appendix

When the Docket Report is run with the Create Appendix option selected, two radio buttons are included at the bottom of the report: Include documents in Appendix and Include document hyperlinks in Appendix.

Creating an Appendix with the “Include Documents in Appendix” Option

If the Include documents in Appendix option is selected when the appendix is generated, the application produces a PDF version of the docket sheet with the selected documents appended.

Creating an Appendix with the “Include Document Hyperlinks in Appendix” Option

If the Include document *hyperlinks* in Appendix option is selected when the appendix is generated, the application produces a PDF version of the docket sheet that does not include the documents from the case record.

Instead, this PDF includes document hyperlinks which direct the user clicking on them back to the District Court’s CM/ECF application to view the document(s).

Sample Appendix PDF With Hyperlinks:

U.S. District Court U.S. District Court Minnesota (DMN) CIVIL DOCKET FOR CASE #: <u>0:11-cv-00010-JNE -AJB</u>		
Ellingson v. U.S. Bureau of Prisons Assigned to: Judge Joan N. Ericksen Referred to: Magistrate Judge Arthur J. Boylan Cause: 28:2254 Petition for Writ of Habeas Corpus (State)	Date Filed: 05/27/2011 Jury Demand: None Nature of Suit: 530 Habeas Corpus (General) Jurisdiction: U.S. Government Defendant	
<p><u>Plaintiff</u> Bella Ellingson</p> <p style="text-align: right;">represented by Bella Ellingson PRO SE</p>		
V.		
<p><u>Defendant</u> U.S. Bureau of Prisons</p>		
Date Filed	#	Docket Text
05/27/2011	<u>1</u>	PETITION for Writ of Habeas Corpus (Filing fee \$ 5 receipt number 500400.) assigned to Judge Joan N. Ericksen per Prisoner referred to Magistrate Judge Arthur J. Boylan., filed by Bella Ellingson. (Attachments: # <u>1</u> Civil Cover Sheet) (JME) (Entered: 05/27/2011)
05/27/2011	<u>2</u>	MOTION to Dismiss by U.S. Bureau of Prisons. (JME) (Entered: 05/27/2011)

ACCESSING THE NEW CASES REPORT

The New Cases Report lists new civil and criminal cases filed in the U.S. District Court, District of Minnesota each day. It indicates the date and time (within the hour) the case was assigned, case number, case name, the District Judge assigned to the case, and the Magistrate Judge assigned to the case. The information will be available on the New Cases Report for 30 days. This report is designed to assist the public with viewing new cases filings in the U.S. District Court. The Judge assignments in the New Cases Report are listed with their initials. Click on the Judge Initials link to view a listing of the Judge’s initials and corresponding full names.

1. Navigate to the District of Minnesota's [website](#).
2. Click on the **Case Information** tab.
3. Click **New Cases**.
4. Click **Access To The New Cases Report**.

MOBILE QUERY

The mobile query interface offers a simplified user experience optimized for display on mobile devices. This interface incorporates the following functions:

- Search interface
- Party selection from party name search result list
- Case selection from case search result list based on case or party name search
- Attorney information for selected case
- Deadlines/Hearing for selected case
- Docket entries for selected case

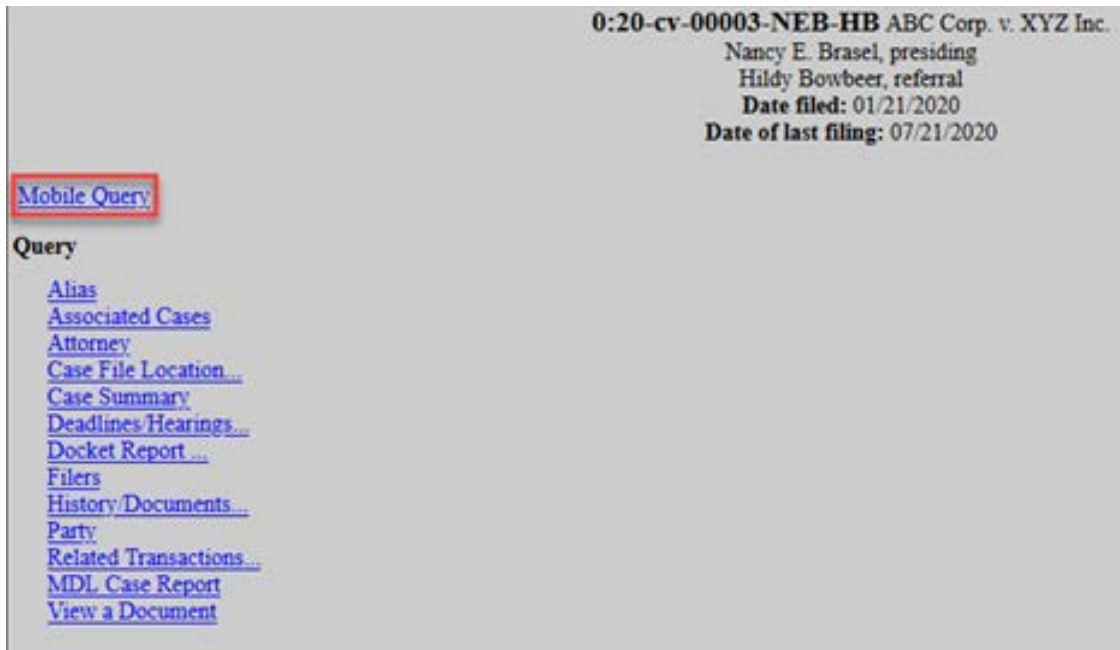
Accessing the Mobile Query

Users can access the mobile query via one of the following:

- The **Mobile Query** link on the **Query** selection criteria page.




The screenshot displays the 'Query' interface with a yellow background for the search criteria section. At the top right, a red-bordered box contains the text: 'WARNING: Search results from this screen are NOT subject to the 30 page limit on PACER charges. Please be as specific as possible with your search criteria.' Below this, the 'Search Clues' section includes a 'Case Number' input field, a 'Mobile Query' link, and a section titled 'or search by' with radio buttons for 'Open', 'Closed', and 'All'. There are date range inputs for 'Filed Date' and 'Last Entry Date'. Two dropdown menus are visible for 'Nature of Suit' (with options: 0 (zero), 110 (Insurance), 120 (Contract; Marine)) and 'Cause of Action' (with options: 0 (No cause code entered), 02:0431 (02:431 Fed. Election Commission: Failure Enforce C), 02:0437 (02:437 Federal Election Commission)). Below these are inputs for 'Last/Business Name', 'First Name', and 'Middle Name', along with a 'Type' dropdown and an 'Exact matches only' checkbox. At the bottom are 'Run Query' and 'Clear' buttons.

- The **Mobile Query** link on the **Query** results page.



Mobile Query User Interface

All interfaces in the mobile query include these five elements:

1. Back button 
2. Title CM/ECF Mobile – MND
3. Logout button 
4. Court home page button 
5. Search field for party name or case searched

The default search screen contains one text field that allows users to search by case number, party name, or attorney.

At the bottom of each page, a **Full Site** button provides access to the standard-formatted application interface page. If the user clicks the **Full Site** button, the full site is set as the default for approximately twelve hours. If any specific page generates a PACER billing receipt, a summary form of the billing information is displayed in the black bar along the bottom of the page.

Name Searches

For name searches, the required format is Last Name, First Name, where a comma separates the two parts. The first name is optional. When searching by name, the user must enter at least two letters of the last name. If only one letter is entered, the search will only find parties or

attorney whose last names are exactly that letter. If a party name search returns more than one possible match based on the criteria provided, the mobile interface presents the user with a list of all matching names and requires the user to select a specific name.

If more than eight results are returned on any query page (excluding the docket entries page), above the list, an on-page filter allows the user to search the results already downloaded to the browser. This does not affect PACER billing.

If only one case is linked to a specific name, the case results for that case is returned.

If one name matches the initial search but is linked to multiple cases, or if a user selects a name from the result list of a multi-response search, a list of cases associated with that party is displayed. When a case is selected from this list, the case query result page is displayed.

Case Searches

Entering a numeric search term triggers a case number search. If an alphanumeric search term is entered, it triggers a party or attorney name search. If a case number search returns no results, the system automatically runs a name search using the same terms. Spaces can be used in case numbers instead of dashes or other punctuation. The case number search does not generate a PACER building receipt, since the standard query application does not bill for the case number lookup.

If a case search returns more than one possible match based on the criteria provided, the mobile interface presents the user with a list of all matching cases and requires the user to select a specific case before proceeding to the case query results screen. When a case is selected from this list, the case query result for that specific case is displayed.

If only one case matches the case criteria provided, the case query result page is displayed.

Case Query Results

When a search is run, the Mobile Query displays results in the case query result page. This screen presents the following information:

- case number, short title, and date filed;
- link to see attorney information in the case;
- link to see party information in the case;
- link to see deadline/hearing information in the case;
- link to show all docket entries, and the number of docket entries that will be shown;
- search icon that brings up a search box to find docket entry information that matches the text entered.

The Case Query Results screen is similar to the full site Query result page, which does not produce a PACER billing receipt. Billing will occur based on additional selection from this page.

Detailed Case Information Displays

Attorneys, parties, deadlines, and docket entries are listed in similarly formatted lists that wrap to fit on small screens.

Each list header shows the case number, item listed, and the number of the matches. If more

than eight items appear in the list, a Filter Items search box at the top of the list allows the user to narrow down the list. This Filter Items search box is available on all case details except for the docket entries. The user is billed for receiving the total data, not for using this filter to hide data already received.

The docket entry information includes document numbers, the filed date, and the docket text. For documents, the document number appears in its own cell on the left. The entire cell is clickable to make clicking the link easier on small screens. Clicking on a document takes the user to familiar ECF screens to view the document.

The mobile query ignores PACER billing display preferences and displays PACER receipts via the standard ECF PACER interface.