

IN THE SUPREME COURT OF TENNESSEE  
AT NASHVILLE

**FILED**  
01/24/2020  
Clerk of the  
Appellate Courts

**IN RE: E-FILING IN TENNESSEE  
POLICY AND TECHNICAL STANDARDS  
REVISED JANUARY 2020**

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**No. ADM2020-00124**

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**ORDER**

The Tennessee Supreme Court first adopted standards in 2012 for use by all courts that wished to implement E-Filing pursuant to the Tennessee Rules of Civil Procedure. The Trial Court E-Filing Oversight Committee was established in April 2019 to recommend guidelines that could be used by all trial court clerks when implementing a new E-Filing system. The committee members have worked diligently to accomplish that task, and the Court thanks all of them for their service.

After due consideration, the Court hereby adopts the standards set forth in attached Appendix A. The clerk shall provide a copy of this order, including Appendix A, to LexisNexis and Thomson Reuters. In addition, this order including Appendix A, shall be posted on the Tennessee Supreme Court's website.

IT IS SO ORDERED.

PER CURIAM



APPENDIX A

**E-FILING IN TENNESSEE**  
Policy and Technical Standards

Revised January 2020

SUPREME COURT OF TENNESSEE

## Foreword

The objective of this Policy & Technical Standards document is to establish technical and policy standards that will promote a compatible technical and business environment for courts across the state. Through its supervisory authority over the judicial system of this state, the Supreme Court of Tennessee is working to ensure that proper technical and policy standards are in place to guide trial courts and clerks as they venture into the realm of electronic filing. On December 14, 2009, the Supreme Court adopted the first rule permitting the adoption of e-filing for use in the civil trial courts in the state and provided that electronic filing must comply with standards promulgated by the Supreme Court. The Supreme Court established a committee named the “Technology Oversight Committee” with the purposes, among many, to recommend technical and policy standards for the implementation of electronic filing and electronic filing systems throughout the state. In addition, this committee reviewed applications by vendors to pre-certify their e-filing systems for use in Tennessee and by trial court clerks for the implementation of electronic filing in their jurisdiction. That committee recommended for adoption by the Supreme Court the precursor to this Policy & Technical Standards document, titled “Electronic Filing for Civil Cases – Policy & Technical Standards,” and that Policy & Technical Standards document<sup>1</sup> was adopted in 2012 (the “2012 Civil Standards”). Since that time, additional rules and statutes have been adopted to permit electronic filing in all civil and criminal trial courts, as well as juvenile and general sessions courts throughout the state.

In 2019, a separate committee named the “Trial Court E-Filing Oversight Committee” was established to assume the aforementioned responsibilities of the Technology Oversight Committee. This committee has updated the 2012 Civil Standards for use among all courts and this Policy & Technical Standards document is the culmination of that work. The Supreme Court adopted these standards by court order dated January 24, 2020.

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<sup>1</sup> Portions of the 2012 Civil Standards were derived from rules propagated by the State of Mississippi, State of Michigan, and State of Ohio for their e-filing initiatives. Information was also derived from “Mecham, L.R. & Lee, C.A. *Memorandum to Persons Interested in Electronic Filing*. *Administrative Office of the United States Courts*. 12/30/1996.” In addition, some definitions were obtained from Wikipedia.

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## **Section 1 E-Filing System/User Interface**

As electronic filing is adopted in courts across the state in both civil and criminal cases, a consistent user interface across the various e-filing systems utilized throughout the state will allow electronic filers the ability to initiate cases and/or file pleadings in different jurisdictions with ease and will help reduce training time and user error. The following standards address specific e-filing data input and user interface.

### **I. Log-in**

The electronic filing system shall allow for secure “log-in” by a registered user prior to secure entry into the e-filing system. The e-filing system must require a unique user-id and encryption of passwords. The e-filing system must also provide a service to retrieve a forgotten user-id and/or password. After log-in, the registered user should view a webpage that permits the user to do one of the following:

- A.** Initiate a case
- B.** File pleadings on an existing case
- C.** Search for cases and view case histories
- D.** View the user’s filing history
- E.** View the user’s financial transactions

### **II. Initiating Cases**

The e-filing system shall allow for case initiation by a registered user legally entitled to initiate cases under Tennessee law and local rules. The e-filing system shall also allow for input and display of the following information:<sup>2</sup>

- A.** Party information. The e-filing system shall allow for input and display of the following information about the party(ies) in the case:
  - Classification of the party(ies) such as plaintiff, defendant, etc.
  - If a business or other type of entity, the following information shall be available for input and display in separate data fields (and accommodations shall be made for hyphenated names), and the e-filing system shall maintain the ability to mark any and all of the following confidential and secure:
    - Official business/entity name
    - Address (including city, state, and zip code)
    - Registered agent and agent’s address

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<sup>2</sup>**Comment:** Some of this information can default to information gathered during the registration process for each registered user. The registered user should be able to update his information in the e-filing system as needed.

- Business classification (e.g., L.L.C.)
- Federal tax identification number and type of tax identification indicator
- If an individual, the following information shall be available for input and display in separate data fields (and accommodation shall be made for hyphenated names), and the e-filing system shall maintain the ability to mark any and all of the following confidential and secure:
  - First name
  - Middle initial or name
  - Last name
  - Date of birth
  - Social Security number<sup>3</sup>
  - Address (including city, state, and zip code)
  - Email address
  - Indigency status
  - Criminal identifying number(s) such as a system person number (SPN), if applicable
  - Next of kin and corresponding phone number(s), if applicable

**B. Attorney information.** The e-filing system shall allow for input and display in separate data fields (and accommodation shall be made for hyphenated names), of the following information concerning attorneys associated with the case:

- Attorney type – examples may include the following:
  - Plaintiff – Attorney
  - Plaintiff – Attorney – Pro Hac Vice
  - State of Tennessee – District Attorney General
  - Defendant – Attorney
  - Defendant – Attorney – Pro Hac Vice
  - Guardian ad litem
- First name
- Middle name or Initial
- Last name
- Bar number<sup>4</sup>
- Email address
- Phone number

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<sup>3</sup> **Comment:** Some of this information is used to locate an individual when there are outstanding court costs or other events which would necessitate a search for an individual. If captured, information of this nature must be stored in an encrypted format. As an alternative identifier, a driver's license number, driver's license issuance state, and driver's license expiration date can serve as a personal identifier in place of the Social Security number or tax id number.

<sup>4</sup> **Comment:** The attorney bar number should be the Board of Professional Responsibility (BPR) number for Tennessee attorneys. For pro hac vice attorneys, the e-filing system should allow for input and display of the state of license and state license number.

- Mailing address
  - Party(ies) represented by the attorney
- C. Case information. The e-filing system shall allow for input and display of appropriate case information, including:
- Case Title (i.e., style of the case)
  - Judicial District and Venue: Jurisdiction (e.g., Seventeenth Judicial District) and Venue (city or county of filing).
  - Court: If it is a multi-court system, a dropdown listing the available courts would be appropriate.
  - Case Type
  - Relevant statute(s) at issue in the case, if applicable.
  - Law enforcement agency, if applicable.
- D. Attachments. The e-filing system shall allow for uploading documents to be transmitted for filing and must also allow for the following:
- The ability for a registered user to select a document to be uploaded.
  - The ability to designate the electronic filer of an e-filed document and the name of the e-filed document.
  - The ability to indicate a document type/sub-type.
  - The ability to include additional information about the e-filed document in a comment field.
  - The ability to indicate the desire to seal the e-filed document.
- E. Summary. The e-filing system shall provide for display of a summary page which should reflect a summary view of the information provided in previous screens with an option to modify any information shown. In addition, an option to request expedited filing should be available.
- F. Fees/Other payments. The e-filing system shall provide a method for payment of filing fees, taxes, and other charges and shall designate approved methods of payment, including the ability to request a fee waiver, if applicable. Any approved payment method must be PCI compliant.

### III. Existing Cases

The e-filing system shall allow for a registered user to file pleadings in an existing case.<sup>5</sup> The e-filing system shall also allow for input and display of the following information:

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<sup>5</sup> **Comment:** When the registered user selects the option to update an existing case, the e-filing system will provide a listing, for selection, of open cases on which said registered user (or a selected attorney if the registered user is serving as an agent for the attorney) previously filed.

- A. Case Title, Docket Number, and Case Type.**<sup>6</sup> The e-filing system shall prominently display the case title. This display shall also include any relevant docket or case number.
- B. Parties.** The e-filing system may allow for addition of new parties in the same manner as when initiating a case as referenced in Section 1 (II) above. The e-filing system should display the full name(s) of the plaintiff(s) and defendant(s) in the case.
- C. Attachments.** The e-filing system shall allow for uploading documents to be transmitted for filing and must also allow for the following.
- The ability for a registered user to select a document to be uploaded.
  - The ability to designate the electronic filer of an e-filed document and the name of the e-filed document.
  - The ability to indicate a document type/sub-type.
  - The ability to include additional information about the e-filed document in a comment field.
  - The ability to indicate the desire to seal the e-filed document.
- D. Summary.** The e-filing system shall provide for display of a summary page, which should reflect a summary view of the information provided in previous screens with an option to modify any information shown. In addition, an option to request expedited filing should be available.
- E. Fees/other payments.** The e-filing system shall provide a method for payment of filing fees, taxes, and other charges and shall designate approved methods of payment, including the ability to request a fee waiver, if applicable. Any approved payment method must be PCI compliant.

#### **IV. Case History**

The e-filing system should allow the registered user to search for cases and have a page that displays the case history showing the following:

- A. Case Title**
- B. Docket Number**
- C. List of case filings in chronological order**

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<sup>6</sup> **Comment:** It is recognized that the establishment of case titles (i.e., case styles) varies across courts and/or counties in which the case is filed. Rules can be incorporated into the chosen system that will (a) check for discrepancies and/or (b) auto update case styles and titles as names change. Having the information appear on this screen does not preclude one's ability to change the information. A suggestion might be to have certain information repeat at the top of each screen (e.g., case number, case name, case style, case title, etc.) so it is continually available for review.



**D. Access to documents.** The e-filing system may provide access to documents if the registered user meets the necessary security requirements for such access.

**V. Filing and Financial Information**

The e-filing system shall have one or more pages that display the filing and financial transaction history for a registered user. The filing history should reflect, at a minimum, the documents submitted for filing and the status of such filing. The financial history should reflect, at a minimum, payment date, the amount paid, and the filing with which the payment is associated. If payment was rejected for any reason, this should also be reflected.

**Section 2 CMS and DMS Integration**

The extent to which an e-filing system is integrated with the clerk's case management system and document management system will be dependent on the sophistication of the systems. All e-filing systems should, at a minimum, be capable of transmitting the minimum data required herein and the e-filed documents to the CMS and DMS for docketing. Similarly, data and documentation from the CMS and the DMS must be transmitted to the e-filing system in order for the e-filing system to display the minimum case information required herein. All transmissions must meet the technical and security requirements set forth herein.

**Section 3 Fees**

One of the arguments for implementation of an e-filing system is the expected long-term reduction of operating costs associated with filing a case. The Supreme Court recognizes, however, that there is often a short-term increase in cost when implementing an e-filing system. The following charges assessed to registered users of the e-filing system are appropriate to be charged by trial court clerks who are statutorily authorized to do so in accordance with T.C.A. §8-21-401<sup>7</sup>, as long as the charges are for the purpose of funding the cost of implementing and maintaining the e-filing system.

**I. Transaction Fees**

The clerk may assess a transaction fee for each filing submitted by a party to the case. The transaction fee shall be limited to a maximum of \$5 per filing and a maximum of \$50 per case.

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<sup>7</sup> **Comment:** Trial court clerks who charge fees in accordance with T.C.A. §8-21-409 do not have similar authorization at this time.

## **II. Subscription Fees**

As an alternative to transaction fees, the clerk may grant registered users of the e-filing system the right to pay a subscription fee, which would permit the registered user unlimited electronic filing for a period of no less than one year. The one-year period shall be defined by the clerk (e.g., calendar year, fiscal year, or subscription year, etc.) and shall be consistently maintained for all registered users of the system. The annual subscription fee shall not exceed \$300 for each annual period.

Notwithstanding the foregoing, the above-referenced fees shall not be assessed to an indigent party or an indigent party's legal representative.

The above-referenced approved funding methods only apply to fees for filing documents and should not be interpreted as a limitation on a clerk's statutory authority to charge fees for obtaining copies of documents maintained by the clerk as part of an e-filing system or a separate document management system.

## **Section 4 Local Rules**

Each trial court has been authorized to implement e-filing in its jurisdiction through the adoption of local rules. The following is a list of types of local rules that trial courts must adopt before implementing an e-filing system, as well as a list of other rules that some trial courts have adopted before implementing e-filing systems:

### **I. Required Local Rules**

E-filing local rules shall include rules addressing the following:

- A.** Authority for adopting local e-filing rules
- B.** Effect of the local e-filing rules on other existing local rules
- C.** Rules addressing and accommodating the submission of non-e-filed documents or other filings
- D.** User registration requirements
- E.** Effect of e-filing on filing date/time
- F.** Permitted format of e-filed documents and other attachments (e.g., PDF, etc.)
- G.** Effect of e-filing on service requirements
- H.** Signature requirements, including any permitted use of electronic signatures.
- I.** Effect of e-filing system errors or user errors on filing date/time
- J.** Transaction and subscription fees assessed pursuant to T.C.A. §8-21-401(o)

K. Effective date of the local rules

## **II. Other Local Rules**

The above are minimum requirements and are not intended to be exhaustive. Other local e-filing rules that courts may consider adopting include the following:

- A. A short title of the rules
- B. Definitions that define terms such as “authorized users,” “case management system,” “electronic filing system,” etc.
- C. A section on the scope of the rules
- D. A section on payment of filing fees in addition to transaction or subscription fees
- E. A section on redaction of confidential and personal information not under seal, and items under seal
- F. A section on electronic evidence procedures

An example of local e-filing rules that have been approved for use by state level civil trial courts is attached as Attachment 1 for guidance.

## **Section 5 Technical Standards**

Technical standards have been developed with the goal of ensuring integrity of filings, assuring an environment that promotes uniformity and ease of filing, and providing the framework for future compatibility between e-filing solutions implemented by local and state courts. Technical electronic standards are intended to be mandatory and are stated as functional requirements for any e-filing system used to perform e-filing in a local or state court.

### **I. Document and File Format Standards**

- A. Any e-filed documents must be reproducible in paper format without a loss of readability.
- B. Electronic documents that are primarily text documents must be uploaded and stored in a PDF format and be text-searchable.
- C. Electronic documents that are primarily non-text documents, such as documents in a graphic format (e.g., maps, pictures, etc.) or multi-media files (e.g., video or audio) shall conform to industry standards (e.g., tiff, gif, or jpeg for graphic files; mpeg, avi or wav for video or audio files).
- D. Data elements will be transmitted using .XML formatting.

- E. The e-filing system must collect the data needed to automate the docketing of the filing in the CMS.
- F. The e-filing system must provide for forward migration of all electronically filed documents.
- G. Email may be used to transmit receipts, confirmations, and notifications.

## **II. Security Standards**

- A. The e-filing system must provide the ability to verify the identity of the filer.
- B. Media (e.g., email, jump drives) should be scanned by the clerk for viruses prior to uploading said information to the electronic filing system.
- C. Back-up and disaster recovery plans must be in place to assure against the loss of electronic filings and other data.
- D. When using third-party vendors for electronic filing, the court must ensure that control of the documents and data submitted through said system is retained by the clerk.
- E. The electronic filing system must comply with generally accepted security protocols, including use of HTTPS, encryption, and secure socket layer (SSL).
- F. The electronic filing system must maintain a register of registered users and associated identifiers.
- G. Documents indicated as sealed or confidential by the Clerk must retain this indicator in storage to prevent unauthorized release.
- H. The e-filing system must have the ability to mark a case as sealed or confidential and to mask appropriate fields such as name, address, and phone number for sealed and confidential cases. In addition, documents from these cases should be able to be restricted from party name search results.

## **III. E-Filing Process Standards**

- A. E-filings must generate an acknowledgement of receipt to the electronic filer. This acknowledgement must include the date, time, and unique reference number associated with the e-filing.
- B. The e-filing system must validate the format of all data submitted before accepting said data.
- C. The e-filing system must support interactive filing and the ability to submit a filing via a batch process.
- D. Accommodations are to be provided for pro se filers to file electronically.

E. Electronic filing systems must comply with ADA requirements.

#### **IV. Architecture Standards**

A. The electronic filing system must provide a common entry portal for each county.

B. Standardization of screens and flow in the e-filing system must conform to those provided in Section I of this document.

C. An electronic registration process must be developed in order to verify potential users of the electronic filing system.

D. Electronic filing systems will be designed to be platform independent, using standard browser technology as a method of access.

E. The electronic filing system must support XML data exchange.

F. The electronic filing system must support e-service between registered users of the e-filing system.

### **Section 6 EFSP Pre-Certification**

In an effort to shorten the process for local courts to be approved for implementation of e-filing systems, the Supreme Court has established a less burdensome application process for courts that utilize an e-filing system and EFSP that has been pre-certified. Electronic filing service providers may submit an application for pre-certification. EFSPs who meet the requirements of certification will be listed on the Administrative Office of the Courts e-filing initiatives page as a pre-certified EFSP. Courts that choose a pre-certified EFSP must still submit an application for e-filing project approval; however, the application to be submitted will be the short-form application. (See Sec. 7).

#### **I. Pre-Certified EFSP Application**

An EFSP seeking pre-certification must submit an application to the Technology Director for review and approval by the Trial Court E-Filing Oversight Committee established by the Supreme Court. The application must provide the following information:

- A. Proposed hardware and software to be used along with a description of how this software will integrate with the court's current case management system and document management system. Included in this description should be the following information:
- Transmission standards and compatibility with statewide data/document standards and screen flow.
  - Medium used to access the electronic filing system.
  - Location where solution will be hosted.

- Methods to assure data integrity and security.
  - Long-term storage and audit trails.
  - Authentication method for submitted documents.
  - Type of electronic signatures used and means of validating the electronic signature.
- B.** Proposed processing procedures, to include:
- Method of verifying date and time of filing.
  - Method and sample of e-filing receipt that will be produced and sent to the user.
  - Back-up and recovery procedures, disaster recovery, and business resumption plans to include regular disaster recovery testing schedules.
  - Procedure for handling confidential or sealed documents.
- C.** A description of how payment processing will be handled by the electronic filing system. In addition, the process for fee waiver should be addressed.
- D.** Copy of training material, user's guides, or any other material that will be distributed to users or to the public.
- E.** Copy of the contract template.

## **II. Pre-Certified EFSP Review/Approval**

Upon receipt of the application, it will be reviewed by the Technology Director who may communicate with the EFSP concerning unclear or missing information in the application. After addressing any issues deemed pertinent by the Technology Director, the Technology Director will transmit the application to the Committee for review and approval. Any concerns of the Committee related to the application will be communicated to the applicant. Upon approval of the application, the Chairman of the Committee will send correspondence to the applicant certifying the applicant as a pre-certified EFSP and designation of such will be posted.

## **Section 7 Local Court Application and Approval Policy**

Prior to implementation of any electronic filing project, the Clerk must obtain approval of the project from the Committee. Courts that choose a pre-certified EFSP must still submit an application for e-filing project approval, however, the application to be submitted by the Clerk will be the short-form application. If the court chooses to use a non-certified EFSP or develops an in-house electronic filing solution, the Clerk must submit the long-form application.

### **I. E-Filing Project Short-Form Application**

This application is to be used by courts that will implement an electronic filing solution using a pre-certified EFSP. The Clerk of the Court must submit an application to the Administrative Office of the Court's Technology Director for review and approval by the Committee. The application must provide the following information:

- A. The court(s), county(ies), and division(s) that will be accepting electronic filings. In addition, the case type(s) and documents that will be accepted electronically must be provided along with a list of case types and documents that will not be accepted electronically
- B. The implementation plan, including public communications, hours of operation, and overall operational steps necessary to process the electronic filing to the case management system
- C. The proposed method of handling documents that will be filed in paper format and the effect, if any, on the e-filing system
- D. A description of proposed fees and how these fees will be handled by the electronic filing system. In addition, the process for fee waiver should be addressed
- E. An itemization of e-filing system configurations different than the core product that was pre-certified
- F. A copy of the local court rules proposed for e-filing in the jurisdiction
- G. A statement as to how parties and the general public will be provided access to electronically filed document
- H. Copies of any vendor contracts associated with the e-filing system

### **II. E-Filing Project Long-Form Application**

This application is to be used by courts that will implement an electronic filing solution using a non-certified EFSP or using electronic filing solution developed in-house. The Clerk must submit an application to the Technology Director for review and approval by the Committee. The application must provide the following information.

- A. The court(s), county(ies), and division(s) that will be accepting electronic filings. In addition, the case type(s) and documents that will be accepted electronically must be provided
- B. The implementation plan, including public communications, hours of operation, and overall operational steps necessary to process the electronic filing to the case management system
- C. Proposed hardware and software to be used and how this software will integrate with the court's current case management system and document management system. Included in this description should be the following information:
  - Transmission standards and compatibility with statewide data/document standards and screen flow
  - Medium used to access the electronic filing system
  - Methods to assure data integrity and security
  - Long-term storage and audit trails
  - Authentication method for submitted documents
  - Type of electronic signature to be used and means of validating the electronic signature
- D. Proposed processing procedures, to include:
  - Method of verifying date and time of filing
  - Method and sample of e-filing receipt that will be produced and sent to the user.
  - Disaster recovery methods and back-up procedures
  - Procedure to handle confidential or sealed documents
  - Method of access for the parties and the general public to electronically filed documents
  - Testing plan
  - Method of handling documents that will be filed in paper format
- E. A description of proposed fees and how these fees will be handled by the electronic filing system. In addition, the process for fee waiver should be addressed
- F. A copy of the local court rules proposed for e-filing in the jurisdiction
- G. Copy of training material, user's guides, or any other material that will be distributed to users or to the public
- H. Copies of any vendor contracts associated with the e-filing system

### **III. Local Court Application Review/Approval**

Upon receipt of the application, it will be reviewed by the Technology Director who may communicate with the Clerk concerning unclear or missing information in the application. After addressing any issues deemed pertinent by the Technology Director,



the Technology Director will transmit the application to the Committee for review and approval. Any concerns of the Committee related to the application will be communicated to the Clerk. Upon approval of the application, the Chairman of the Committee will send correspondence to the Clerk certifying the court's e-filing system for implementation.

## **Section 8 Maintaining E-Filing Systems**

### **I. Pre-Certified EFSP**

At any time a pre-certified EFSP makes substantial modifications to its pre-certified e-filing system, the EFSP must submit a new application for pre-certification to the Technology Director. Unless submitting a new application in accordance with the foregoing, all pre-certified EFSPs must re-certify every five (5) years by submitting one of the following statements to the Technology Director.

- A.** A statement that no modifications to the pre-certified e-filing system have been made that would change any representations made in the original application or any subsequent statements submitted (whichever is later); or
- B.** A statement of all modifications that change the representations made in the original application or any subsequent statements submitted (whichever is later) and a statement that no other modifications have been made to the system that would change any representations made in the original application or any subsequent statements submitted (whichever is later).

Upon receipt, the Technology Director will forward the information from the EFSP to the Committee for review and approval. Upon approval, a new certification will be transmitted to the EFSP.

### **II. Trial Courts/Clerks**

It is the obligation of the courts and clerks to maintain the e-filing system being implemented pursuant to an application approved by the Committee. If, at any time, the Clerk decides to abandon the e-filing system and no longer accept e-filed documents, the Clerk, at least thirty (30) days prior to the date the e-filing system will no longer accept e-filed documents, must submit a notice to the Technology Director advising of this intent, which notice shall be transmitted to the Committee. Further, if the Clerk fails to maintain the e-filing system in proper working order, the Committee may recall its approval or take any additional action in accordance with direction from the Supreme Court.

At any time that the Clerk makes substantial modifications to its approved e-filing system, the Clerk must submit a new application to the Technology Director. Unless

submitting a new application in accordance with the foregoing, all Clerks must submit one of the following statements to the Technology Director every five (5) years.

- A.** A statement that no modifications to the Clerk's approved e-filing system have been made that would change any representations made in the original application or any subsequent statements submitted (whichever is later); or
- B.** A statement of all modifications to the Clerk's approved e-filing system that change the representations made in the original application or any subsequent statement submitted by the Clerk (whichever is later) and a statement that no other modifications have been made to the Clerk's approved e-filing system that would change any representations made in the original application or any subsequent statements submitted by the Clerk (whichever is later).

Upon receipt, the Technology Director will forward the information from the Clerk to the Committee for review and approval. Upon approval, a new certification will be transmitted to the Clerk.

## **Section 9 Definitions**

- ❖ “Administrative Office of the Courts” or “AOC” means the office established pursuant to T.C.A. §16-3-801 to provide administrative support for the judicial branch of state government.
- ❖ “ADA” refers to the federal guidelines provided under the Americans with Disabilities Act.
- ❖ “Audit trail” means a record showing what operations were performed on a document or data element during a given period of time and by whom said operations were performed.
- ❖ “Case Management System” or “CMS” means a computer system owned and in the custody of the Clerk’s Office that maintains all electronic data associated with the court case files managed by the Clerk.
- ❖ “Clerk” means the clerk of the Court.
- ❖ “Court” means the court of filing.
- ❖ “Data element” means the logical unit of data.
- ❖ “Document” means a piece of written, printed, photographic, digital or other matter that provides information or evidence or that serves as an official record.
- ❖ “Document management system” or “DMS” means a computer system owned and in the custody of the Clerk’s Office that maintains in electronic form documents filed in the courts.
- ❖ “E-file” or “E-filing” means the electronic transmission of an electronic document to the clerk for the purpose of filing said electronic document.
- ❖ “E-filed document” or “Electronically filed document” means any electronic document that has been transmitted to the Clerk through the e-filing system.
- ❖ “E-file Receipt” means an electronic confirmation generated upon completion of an E-filing.
- ❖ “Electronic document” means the electronic version of a document.
- ❖ “Electronic filer” means the person whose user-id and password are used to file an electronic document.
- ❖ “Electronic filing service provider” or “EFSP” means a vendor that provides an e-filing system and associated services for the purpose of electronic filing and electronic service of documents in courts.
- ❖ “Electronic filing system” or “e-filing system” means an electronic system specifically designed for the collection and transmission of case file data and documents to be transmitted to the Clerk for filing.
- ❖ “Encryption” is the coding or scrambling of information so that it can only be decoded and read by someone who has the correct decoding key.

- ❖ “E-service” means the electronic transmission of notices and/or documents to a registered user through an e-filing system and pursuant to Tennessee court procedural rules.
- ❖ “Filer” means the person or entity on whose behalf a document is transmitted to the court for filing.
- ❖ “Forward migration” means a document must be compatible with later models or versions of the same product.
- ❖ “HTTPS” is an extension of the HTTP protocol allowing data to be sent securely over the World Wide Web.
- ❖ “Non-text documents” refers to documents in a graphic format (e.g., maps, pictures, etc.) or multimedia files (e.g., video or audio).
- ❖ “Paper format” means the version of a document reduced to typewritten or handwritten form on paper.
- ❖ “PCI compliant” means that the payment vendor has properly implemented security controls and procedures per the policies recommended by the Payment Card Industry Data Security Standards.
- ❖ “PDF” means portable document format and is a computer file format developed by Adobe Systems for representing documents in a manner that is independent of the original application software, hardware, and operating system used to create those documents.
- ❖ “Registered user” means an authorized user who has properly registered with the Clerk to e-file and e-serve documents with the courts through the electronic filing system. Registered users may include individuals who have been designated as agents (for case entry purposes only) by the lead attorney.
- ❖ “Secure socket layer” or “SSL” is a protocol method used to transmit private documents via the internet.
- ❖ “Subscription fee” is an annual fee set out in T.C.A. §8-21-401(o) and charged in connection with filing documents with a court through an electronic filing system.
- ❖ “Technology Director” means the individual designated by the AOC Director to lead the technology services division of the AOC.
- ❖ “Transaction fee” is a fee set out in T.C.A. §8-21-401(o) and charged in connection with electronic filing and electronic service. The transaction fee is on a per-filing or per service basis.
- ❖ “XML” is short for eXtensible Markup Language, a specification developed by the W3C.