



# AAA WebFile® Electronic Case Filing Guidelines

## INTRODUCTION

For those cases and caseloads that have adopted these Electronic Case Filing Guidelines, AAA-ICDR requires the parties to use AAA WebFile® (“WebFile”) to file online their pleadings, including claims, counterclaims, answers, motion briefing, pre- and post-hearing briefs, and other substantive filings such as locale position statements, challenges to arbitrators, and mediation statements. WebFile allows parties to file their arbitration pleadings and mediation submissions on AAA-ICDR’s secure electronic case management system instead of emailing those documents to the arbitrator/mediator, opposing counsel, and AAA. Documents filed on WebFile will be available and viewable immediately to all case participants who have viewing privileges for the documents.

WebFile for the parties, and Panelist eCenter® for the arbitrators and mediators, will provide access to a case file similar to a court’s docket. Unlike courts’ dockets, however, the case files will not be available for public viewing. Instead, only those who are associated with the case and who have an [ADR.org](https://www.adr.org) (WebFile) account will be able to access, view, and download the case documents on WebFile, and those users will be required to log in to their WebFile or Panelist eCenter account to view the uploaded and e-filed documents, along with other case information.

To encourage use of WebFile, e-filing through WebFile will be the default for most caseloads. Additionally, case representatives will be set to receive automated email notification of e-filed documents, which they then can view online after logging in to WebFile. Such email notifications will constitute service. But, case participants also can choose to opt out of receiving email notifications of e-filed documents. If all representatives for a party opt out of receiving email notifications, then the filing party must serve the e-filed documents on those opt outs by another method – for example, email, regular mail, or express/overnight delivery<sup>1</sup>.

With AAA-ICDR’s launch of its application for mobile phones and tablets, users with WebFile credentials can log in to their case to view filed documents, upcoming events, and other case information, from anywhere and at any time. Learn more and download the mobile app [here](#).

Finally, AAA-ICDR does not charge a fee for uploading or downloading documents from WebFile, whether the documents have been e-filed on WebFile by a party or uploaded by AAA-ICDR. Case participants can view and download any and all documents for free as often as they like.

## Application of Guidelines

These guidelines only apply to cases and caseloads that have adopted these guidelines. There may be caseloads that AAA-ICDR has excluded from the e-filing requirement and accordingly do not adopt these guidelines.

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<sup>1</sup> As long as at least one representative for a party is getting the automated email notifications, there is no need for the filing party to serve e-filed documents in another manner on additional representatives for that party who have opted out of automated email notifications.



## AAA WebFile Registration Requirement

To e-file or view documents on WebFile, case participants must have an active WebFile account and must have previously filed a notice of appearance or otherwise appeared in the case. To register for WebFile, please visit: <https://www.adr.org/aaa/faces/register><sup>2</sup>.

## Documents to upload to AAA WebFile

Below is a sampling of documents that users should upload (e-file) to WebFile. This list is not comprehensive. Please contact your AAA-ICDR case manager if you are unsure if your document should be e-filed.

- ✓ Demands/claims, statements of claims, complaints, pleadings, court documents and exhibits, and amendments to those documents
- ✓ Court orders
- ✓ Arbitration provisions and contracts
- ✓ Answering statements, counterclaims, cross-claims and amendments to those documents
- ✓ Dispositive motions, responses, replies and all other motions, requests, and responses and their exhibits related to: discovery, arbitrability/jurisdiction, locale of proceedings, consolidation/joinder, scheduling/postponement and sanctions
- ✓ Arbitrator/mediator rankings
- ✓ Arbitrator/mediator objections and responses
- ✓ Checklists for conflicts
- ✓ Hearing briefs (e.g., pre-hearing and post-hearing briefs and responses and exhibits to those briefs)
- ✓ Witness lists
- ✓ Expert lists, disclosures, and reports
- ✓ Subpoenas requested
- ✓ Draft orders, hearing or status conference agendas, or other draft documents to be shared among case participants
- ✓ Requests for extensions or postponements
- ✓ Requests for modification of award and responses
- ✓ Requests for mediation
- ✓ Mediation agreement
- ✓ Mediation statements
- ✓ Notifications of settlement/pending settlement

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<sup>2</sup> Panelists with an adr.org account have access to both Panelist eCenter and WebFile and do not need to create a separate WebFile account.



### Documents not to upload to AAA WebFile:

Below is a sampling of documents that users should not e-file on WebFile. This list is not comprehensive. Please contact your AAA-ICDR case manager if you are unsure if your document should be e-filed.

- Hearing exhibits<sup>3</sup>
- Discovery-related documents (requests for production, interrogatories, etc.) and responses, unless as exhibits to a motion to compel or other pleadings
- Settlement agreements
- Initial notices of appearance (email the notice to the case manager, who will grant the new case participant access to the case on WebFile upon receipt)

### File Type and Size Limitation

Upload times may vary depending on file type, file size and user connection speed. WebFile accepts the following file types and sizes:

- PDF up to 75 MB<sup>4</sup>
- Microsoft Word (DOC, DOCX) up to 16 MB
- Text (TXT, WRI) UP TO 16 MB
- HTML (HTML, HTM) up to 16 MB
- Image (GIF, JPEG, JPG, BMP) up to 16 MB

### Document Naming Convention

The AAA-ICDR's standard naming convention creates consistency and ease of use for case participants to find and manage documents within WebFile. Users uploading documents to WebFile should utilize the following naming convention:

Date of document (year-month-day)/Source of document/Name of document

Example: 2020-12-18 ABC Inc. Detailed Statement of Claims

*Note:* The year should be four digits and the month and day should be two digits. This facilitates the chronological ordering when a user downloads multiple documents from WebFile or Panelist eCenter.

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<sup>3</sup> WebFile now includes Hearing Exhibits, an easy-to-use, accessible, and secure space for parties to upload hearing exhibits. Hearing exhibits are stored separately from the documents tab where other case documents are stored. Learn more at the following link:  
<https://www.adr.org/aaa-webfile-hearing-exhibits>

<sup>4</sup> Multiple PDF documents with a combined size that does not exceed 75 MB can be uploaded to WebFile at one time.



### Character Limitations:

WebFile limits the characters, other than letters or numbers, allowed in document names. Prohibited characters are noted below, and file names may not exceed 100 characters including the file extension (.pdf, .docx, .jpeg, etc.).

Name	Character
Ampersand	&
Apostrophe	'
At sign	@
Caret	^
Dollar sign	\$
Exclamation mark	!
Parentheses	()
Percent sign	%
Pound sign	#
Semicolon	;

### Document Indexing and Viewing Privileges

Users will index the documents they e-file on WebFile. Indexing a document sets its viewing privileges. Viewing privileges control which case participants can access and view a document, e.g., the opposing party or the arbitrator/mediator. All representatives of the party uploading the document automatically have viewing privileges as the document source.

To index a document during the e-filing process, a user must first select a **document group**. Next, the user must select a corresponding **document type**. The table attached as the Appendix lists the available document groups, document types, and associated viewing privileges users will select from when indexing a document in WebFile during the e-filing process. The AAA-ICDR case manager has the authority and discretion to change an e-filed document’s indexing when deemed appropriate, such as when the user inadvertently selected the incorrect document group or type. When a user is unsure as to the appropriate indexing categories, the user can contact the AAA-ICDR case manager for guidance or can select document group: Miscellaneous, document type: Miscellaneous/Other, and the AAA-ICDR case manager will review the document for appropriate indexing.

### Error messages and failures when e-filing

An error message may appear preventing a user’s upload of a document to WebFile. Common errors include file size is too large; file name is too long; file name contains prohibited characters; and file type is not allowed. If a user receives an error message, the user should correct the error and try uploading again.



If technical issues persist and the user is unable to e-file a document, they should notify AAA-ICDR and the case participants and transmit the document via an alternate method, such as email.

### Automated email notifications and service of e-filed documents

When a party e-files a document, an automated email notification will be sent to all active case participants who have viewing privileges for the document, including the AAA-ICDR case manager. As noted above, viewing privileges are determined by the document's indexing. If a participant does not have viewing privileges for the document that was e-filed, such as one party's arbitrator strikes and ranks, that participant will not receive the email notification. For case participants receiving automated email notifications of e-filed documents, such notifications will constitute service of the documents on those participants.

All case participants for whom AAA-ICDR has an email address will receive automated email notifications by default. Users with a WebFile account can change their profile setting across all cases to opt out of such notifications. On a case by case basis, users with a WebFile account and users with an email address but with no WebFile account can advise their AAA-ICDR case manager to turn off the users' automated email notifications. If all representatives for a party opt out of receiving email notifications, then the filing party must serve the e-filed documents on those opt outs by another method.

The email notification will contain the case name and number; name(s) of the file(s) e-filed and the source (the party e-filing); names and email addresses of the case participants with viewing privileges for the documents who have been notified via email of the e-filing; and name of the arbitrator(s) or mediator and their assistant, if any, who have been notified, if the arbitrator/mediator has viewing privileges. Also included are a link to the WebFile log-in page and a link to register for WebFile (if needed).

As noted above, e-filing a document on WebFile constitutes service as to the case participants notified via automated email. It is the responsibility of the filing party to ensure documents are served on any other necessary case participants not listed in the email notification.

Unlike certain court platforms, the e-filed document itself will not be attached to or linked to from the automated email notification. Instead, the recipient will need to log in to WebFile or use the WebFile mobile app to view the document(s). This protects the security and confidentiality of the e-filed documents.

### AAA WebFile tasks that create documents and send automated email notifications

Parties may have certain tasks assigned in WebFile, the completion of which either creates a case document or involves uploading a document. Examples include the Answer Due task and the File Briefs task. When appropriate, after a party completes a task on WebFile, automated email notifications will be sent to case participants with viewing privileges for the associated document. In addition, the AAA-ICDR case manager will always receive an email notification regarding the document, even if no other case participant has viewing privileges, such as when a party completes the Rank List task. Case participants can see who has viewing privileges to documents in the WebFile document grid for a case.



## File Maintenance and Destruction

Pursuant to the AAA-ICDR's current policy, in the normal course of our administration, the AAA-ICDR may maintain certain electronic case documents in our electronic records system. Such electronic documents may not constitute a complete case file. Other than certain types of electronic case documents that the AAA-ICDR maintains indefinitely, electronic case documents will be destroyed 18 months after the date AAA-ICDR notifies the parties the matter is closed.

## Appendix

Document Indexing Categories		Viewing Privileges (blank cells = no viewing privileges)		
Document Group	Document Type	All Claimants	All Respondents	All Neutrals
Administrative	Extensions	x	x	
Administrative	Notification of Settlement/Pending Settlement	x	x	x
Arbitrator Selection/Appointment	Arbitrator Challenges/Objections	x	x	
Arbitrator Selection/Appointment	Arbitrator Lists/Biographies			
Arbitrator Selection/Appointment	Checklist for Conflicts			x
Arbitrator Selection/Appointment	Miscellaneous/Other			
Award Documents	Modification/Clarification Request/Response	x	x	
Briefs	Briefs/Submission Schedule	x	x	x
Briefs	Miscellaneous/Other			
Briefs	Post-Hearing Schedule/Briefs/Submissions	x	x	x
Briefs	Pre-Hearing Schedule/Briefs/Submissions	x	x	x
Claims/Counterclaims	Answers/Counterclaims/Cross-claims and Amendments	x	x	x
Claims/Counterclaims	Demand (Claims) and Amendments	x	x	x
Claims/Counterclaims	Miscellaneous/Other			
Claims/Counterclaims	Post-Dispute Submission to Arbitration	x	x	x
Desk Arbitration	Desk Arbitration Schedule/Submissions/Replies	x	x	x
Desk Arbitration	Miscellaneous/Other			
Mediation Documents	Mediation Agreement/Submission	x	x	x



Document Indexing Categories		Viewing Privileges (blank cells = no viewing privileges)		
Document Group	Document Type	All Claimants	All Respondents	All Neutrals
Mediation Documents	Mediator Appointment/Disclosures/Challenges	x	x	
Mediation Documents	Mediator Lists/Biographies			
Mediation Documents	Miscellaneous/Other			
Mediation Documents	Pre-Mediation Memorandum (confidential)			x
Mediation Documents	Pre-Mediation Memorandum (shared)	x	x	x
Miscellaneous	Discovery/Subpoenas/Witness Lists/Experts	x	x	x
Miscellaneous	Legal Documents			
Miscellaneous	Miscellaneous/Other			
Miscellaneous	Notice of Appearance (Counsel)	x	x	x
Miscellaneous	Requests for File/Certified Copies			
Motions/Requests and Responses	Arbitrability	x	x	
Motions/Requests and Responses	Consolidation/Joinder	x	x	
Motions/Requests and Responses	Discovery	x	x	x
Motions/Requests and Responses	Dispositive Motions/Responses	x	x	x
Motions/Requests and Responses	Locale of Proceedings	x	x	
Motions/Requests and Responses	Miscellaneous/Other			
Motions/Requests and Responses	Sanctions	x	x	x
Motions/Requests and Responses	Scheduling/Postponement	x	x	x