



Electronic Court Filing Version 4.01 Errata 01

OASIS Approved Errata

14 July 2014

Specification URIs

This version:

<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/ecf-v4.01-spec-errata01-os.doc> (Authoritative)
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/ecf-v4.01-spec-errata01-os.html>
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/ecf-v4.01-spec-errata01-os.pdf>

Previous version:

<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/csprd01/ecf-v4.01-spec-errata01-csprd01.doc> (Authoritative)
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/csprd01/ecf-v4.01-spec-errata01-csprd01.html>
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/csprd01/ecf-v4.01-spec-errata01-csprd01.pdf>

Latest version:

<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/ecf-v4.01-spec.doc> (Authoritative)
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/ecf-v4.01-spec.html>
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/ecf-v4.01-spec.pdf>

Technical Committee:

OASIS LegalXML Electronic Court Filing TC

Chairs:

James Cabral (jcabral@mtgmc.com), MTG Management Consultants
Jim Harris (jharris@ncsc.org), National Center for State Courts

Editor:

James Cabral (jcabral@mtgmc.com), MTG Management Consultants

Additional artifacts:

This prose specification is one component of a Work Product that also includes:

- *Electronic Court Filing Version 4.01 Plus Errata 01*. Edited by James Cabral. 14 July 2014. OASIS Standard incorporating Approved Errata 01. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/ecf-v4.01-spec-errata01-os-complete.html>.
- XML schemas: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/xsd/>.
- XML sample messages: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/xml/>.
- Model: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/model/>.

- Genericcode code lists: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/gc/>.

Related work:

This specification lists errata for:

- *Electronic Court Filing Version 4.01*. Edited by Adam Angione and James Cabral. 23 May 2013. OASIS Standard. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/os/ecf-v4.01-spec-os.html>.

This specification replaces or supersedes:

- *OASIS LegalXML Electronic Court Filing Version 3.0*. Edited by Roger Winters. 15 November 2005. Committee Specification Draft. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v3.0/>
- *OASIS Electronic Court Filing Version 4.0*. Edited by Adam Angione and Roger Winters. 21 September 2008. Committee Specification Draft. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.0/ecf-v4.0-spec/>

This specification is related to:

- National Information Exchange Model 2.0. <http://niem.gov/>

Declared XML namespaces:

- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:AppInfo-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:AppellateCase-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:BankruptcyCase-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CaseListQueryMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CaseListResponseMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CaseQueryMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CaseResponseMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CitationCase-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CivilCase-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CommonTypes-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CoreFilingMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CourtPolicyQueryMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CourtPolicyResponseMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:CriminalCase-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:DocumentQueryMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:DocumentResponseMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:DomesticCase-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:FeesCalculationQueryMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:FeesCalculationResponseMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:FilingListQueryMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:FilingListResponseMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:FilingStatusQueryMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:FilingStatusResponseMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:JuvenileCase-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:MessageReceiptMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:PaymentMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:PaymentReceiptMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:RecordDocketingCallbackMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:RecordDocketingMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:ReviewFilingCallbackMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:ServiceInformationQueryMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:ServiceInformationResponseMessage-4.0
- urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:ServiceReceiptMessage-4.0

Abstract:

This specification lists errata for *Electronic Court Filing Version 4.01*. Edited by Adam Angione and James Cabral. 23 May 2013. OASIS Standard. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/os/ecf-v4.01-spec-os.html>.

Status:

This document was last revised or approved by the OASIS LegalXML Electronic Court Filing TC on the above date. The level of approval is also listed above. Check the “Latest version” location noted above for possible later revisions of this document.

Technical Committee members should send comments on this specification to the Technical Committee’s email list. Others should send comments to the Technical Committee by using the “Send A Comment” button on the Technical Committee’s web page at <https://www.oasis-open.org/committees/legalxml-courtfilling/>.

For information on whether any patents have been disclosed that may be essential to implementing this specification, and any offers of patent licensing terms, please refer to the Intellectual Property Rights section of the Technical Committee web page (<https://www.oasis-open.org/committees/legalxml-courtfilling/ipr.php>).

Citation format:

When referencing this specification the following citation format should be used:

[ECF-v4.01-errata01]

Electronic Court Filing Version 4.01 Errata 01. Edited by James Cabral. 14 July 2014. OASIS Approved Errata. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/os/ecf-v4.01-spec-errata01-os.html>. Latest version: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/ecf-v4.01-spec.html>.

Notices

Copyright © OASIS Open 2014. All Rights Reserved.

All capitalized terms in the following text have the meanings assigned to them in the OASIS Intellectual Property Rights Policy (the "OASIS IPR Policy"). The full [Policy](#) may be found at the OASIS website.

This document and translations of it may be copied and furnished to others, and derivative works that comment on or otherwise explain it or assist in its implementation may be prepared, copied, published, and distributed, in whole or in part, without restriction of any kind, provided that the above copyright notice and this section are included on all such copies and derivative works. However, this document itself may not be modified in any way, including by removing the copyright notice or references to OASIS, except as needed for the purpose of developing any document or deliverable produced by an OASIS Technical Committee (in which case the rules applicable to copyrights, as set forth in the OASIS IPR Policy, must be followed) or as required to translate it into languages other than English.

The limited permissions granted above are perpetual and will not be revoked by OASIS or its successors or assigns.

This document and the information contained herein is provided on an "AS IS" basis and OASIS DISCLAIMS ALL WARRANTIES, EXPRESS OR IMPLIED, INCLUDING BUT NOT LIMITED TO ANY WARRANTY THAT THE USE OF THE INFORMATION HEREIN WILL NOT INFRINGE ANY OWNERSHIP RIGHTS OR ANY IMPLIED WARRANTIES OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE.

OASIS requests that any OASIS Party or any other party that believes it has patent claims that would necessarily be infringed by implementations of this OASIS Committee Specification or OASIS Standard, to notify OASIS TC Administrator and provide an indication of its willingness to grant patent licenses to such patent claims in a manner consistent with the IPR Mode of the OASIS Technical Committee that produced this specification.

OASIS invites any party to contact the OASIS TC Administrator if it is aware of a claim of ownership of any patent claims that would necessarily be infringed by implementations of this specification by a patent holder that is not willing to provide a license to such patent claims in a manner consistent with the IPR Mode of the OASIS Technical Committee that produced this specification. OASIS may include such claims on its website, but disclaims any obligation to do so.

OASIS takes no position regarding the validity or scope of any intellectual property or other rights that might be claimed to pertain to the implementation or use of the technology described in this document or the extent to which any license under such rights might or might not be available; neither does it represent that it has made any effort to identify any such rights. Information on OASIS' procedures with respect to rights in any document or deliverable produced by an OASIS Technical Committee can be found on the OASIS website. Copies of claims of rights made available for publication and any assurances of licenses to be made available, or the result of an attempt made to obtain a general license or permission for the use of such proprietary rights by implementers or users of this OASIS Committee Specification or OASIS Standard, can be obtained from the OASIS TC Administrator. OASIS makes no representation that any information or list of intellectual property rights will at any time be complete, or that any claims in such list are, in fact, Essential Claims.

The name "OASIS" is a trademark of [OASIS](#), the owner and developer of this specification, and should be used only to refer to the organization and its official outputs. OASIS welcomes reference to, and implementation and use of, specifications, while reserving the right to enforce its marks against misleading uses. Please see <https://www.oasis-open.org/policies-guidelines/trademark> for above guidance.

Table of Contents

1	Introduction	6
1.1	Terminology	6
1.2	Normative References	6
1.3	Non-Normative References	6
2	Approved Errata for ECF Core 4.01	7
2.1	Incorrect schema encodings.....	7
2.2	Missing attribute.....	7
2.3	Inconsistent reference to the UBL	7
2.4	Use of embedded attachments is deprecated.....	8
2.5	Clarify references to document signature profiles	8
2.6	Incorrect cardinality in the NIEM core constraint schema	8
2.7	Incorrect cardinality in the NIEM justice domain constraint schema	9
Appendix A.	Acknowledgments	10
Appendix B.	Revision History	11

1 Introduction

[All text is normative unless otherwise labeled]

1.1 Terminology

The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in this document are to be interpreted as described in [RFC2119].

1.2 Normative References

- [RFC2119] Bradner, S., “Key words for use in RFCs to Indicate Requirement Levels”, BCP 14, RFC 2119, March 1997. <http://www.ietf.org/rfc/rfc2119.txt>.
- [ECF-Spec] *Electronic Court Filing Version 4.01*. 23 May 2013. OASIS Standard. <http://docs.oasis-open.org/legalxml-courtfileing/specs/ecf/v4.01/ecf-v4.01-spec/os/ecf-v4.01-spec-os.html>.

1.3 Non-Normative References

2 Approved Errata for ECF Core 4.01

Following are the approved errata to the Electronic Court Filing v4.01 OASIS Standard. All references schemas are provided with the [ECF-Spec].

2.1 Incorrect schema encodings

Replace the prolog

```
<?xml version="1.0" encoding="UTF-16"?>
```

with

```
<?xml version="1.0" encoding="UTF-8"?>
```

in the following files:

- *xsd/constraint/niem/ansi-nist/2.0/ansi-nist.xsd*
- *xsd/constraint/niem/ansi_d20/2.0/ansi_d20.xsd*
- *xsd/constraint/niem/domains/jxdm/4.0/jxdm.xsd*
- *xsd/constraint/niem/domains/screening/2.0/screening.xsd*
- *xsd/constraint/niem/fbi/2.0/fbi.xsd*
- *xsd/constraint/niem/fips_10-4/2.0/fips_10-4.xsd*
- *xsd/constraint/niem/fips_6-4/2.0/fips_10-4.xsd*
- *xsd/constraint/niem/iso_4217/2.0/iso_4217.xsd*
- *xsd/constraint/niem/iso_639-3/2.0/iso_639-3.xsd*
- *xsd/constraint/niem/niem-core/2.0/niem-core.xsd*
- *xsd/constraint/niem/nonauthoritative-code/2.0/nonauthoritative-code.xsd*
- *xsd/constraint/niem/unece_rec20-misc/2.0/unece_rec20.xsd*
- *xsd/constraint/niem/usps_states/2.0/usps_state.xsd*

2.2 Missing attribute

In *xsd/casetype/JuvenileCase.xsd*, replace

```
<xsd:element name="JuvenileCase" type="JuvenileCaseType">
```

with

```
<xsd:element name="JuvenileCase" type="JuvenileCaseType" substitutionGroup="n  
c:Case">
```

2.3 Inconsistent reference to the UBL

In *xsd/message/FeesCalculationResponseMessage.xsd*, replace

```
<xsd:import  
namespace="urn:oasis:names:specification:ubl:schema:xsd:CommonAggregateCompon  
ents-2" schemaLocation="http://docs.oasis-open.org/ubl/cs-UBL-  
2.0/xsd/common/UBL-CommonAggregateComponents-2.0.xsd"/>
```

with

```
<xsd:import
namespace="urn:oasis:names:specification:ubl:schema:xsd:CommonAggregateCompon
ents-2" schemaLocation="http://docs.oasis-open.org/ubl/2.1-prd2-UBL-
2.1/xsd/common/UBL-CommonAggregateComponents-2.1.xsd"/>
```

2.4 Use of embedded attachments is deprecated

In Section 2.3.1 Messages of the specification document, replace:

The actual binary encoded electronic document MAY be either included in one or more attachments to the message or embedded in the message using the following structure:

with

The actual binary encoded electronic document SHOULD be included in one or more attachments to the message or MAY be embedded in the message using the following structure:

2.5 Clarify references to document signature profiles

In Section 6.0 Document Signature Profiles of the specification, on lines 1119, 1125, 1165, and 11179 replace:

ECF 4.0

with

ECF

2.6 Incorrect cardinality in the NIEM core constraint schema

In `xsd/constraint/niem/niem-core/2.0/niem-core.xsd`, make the following 4 replacements:

On line 36, replace

```
<xsd:element ref="nc:ActivityIdentification" minOccurs="0" maxOccurs="1"/>
```

with

```
<xsd:element ref="nc:ActivityIdentification" minOccurs="0"
maxOccurs="unbounded"/>
```

On line 40, replace

```
<xsd:element ref="nc:ActivityDisposition" minOccurs="0" maxOccurs="1"/>
```

with

```
<xsd:element ref="nc:ActivityDisposition" minOccurs="0"
maxOccurs="unbounded"/>
```

On line 221, replace


```
<xsd:element ref="nc:DocumentIdentification" minOccurs="0" maxOccurs="1"/>  
with  
<xsd:element ref="nc:DocumentIdentification" minOccurs="0"  
maxOccurs="unbounded"/>
```

On line 737, replace

```
<xsd:element ref="nc:StatusDescriptionText" minOccurs="0" maxOccurs="1"/>  
with  
<xsd:element ref="nc:StatusDescriptionText" minOccurs="0"  
maxOccurs="unbounded"/>
```

2.7 Incorrect cardinality in the NIEM justice domain constraint schema

In *xsd/constraint/niem/domains/jxdm/4.0/jxdm.xsd*, make the following 3 replacements:

On line 39, replace

```
<xsd:element ref="j:AppellateCaseOriginalCase" minOccurs="0" maxOccurs="1"/>  
with  
<xsd:element ref="j:AppellateCaseOriginalCase" minOccurs="0"  
maxOccurs="unbounded"/>
```

On line 81, replace

```
<xsd:element ref="j:CaseJudge" minOccurs="0" maxOccurs="1"/>  
with  
<xsd:element ref="j:CaseJudge" minOccurs="0" maxOccurs="unbounded"/>
```

On line 134, replace

```
<xsd:element ref="j:CitationViolation" minOccurs="0" maxOccurs="1"/>  
with  
<xsd:element ref="j:CitationViolation" minOccurs="0" maxOccurs="unbounded"/>
```

Appendix A. Acknowledgments

The following individuals have participated in the creation of this specification and are gratefully acknowledged:

Participants:

Gary Graham,	Arizona Supreme Court
Jim Price,	Arizona Supreme Court
Robert DeFilippis,	Individual Member
George Knecht,	Individual Member
Robert O'Brien,	Individual Member
Michael Alexandrou,	Judicial Council of Georgia
Tony Mazza,	Judicial Council of Georgia
Michael Neuren,	Judicial Council of Georgia
Scott Edson,	LA County Information Systems Advisory Body
Ali Farahani,	LA County Information Systems Advisory Body
John Ruegg,	LA County Information Systems Advisory Body
Maan Khamis,	LexisNexis, a Division of Reed Elsevier
Laurel Shifrin,	LexisNexis, a Division of Reed Elsevier
D Welsh,	Microsoft
Robin Gibson	Missouri Office of State Courts Administrator
James Cabral,	MTG Management Consultants, LLC.
Thomas Clarke,	National Center for State Courts
Diana Graski,	National Center for State Courts
Jim Harris,	National Center for State Courts
Jim McMillan,	National Center for State Courts
James Bryce Clark,	OASIS
Robin Cover,	OASIS
Chet Ensign,	OASIS
Dallas Powell,	Tybera Development Group, Inc.
Monica Palmirani,	University of Bologna-CIRSFID
Ron Bowmaster,	Utah Administrative Office of the Courts
Alex Kravtsov,	Utah Administrative Office of the Courts

Appendix B. Revision History

Revision	Date	Editor	Changes Made
Wd01	15 October 2013	James Cabral	Initial version
Wd02	10 March 2014	James Cabral	Update list of affected files in 2.1; Added 2.4 and 2.5
Wd03	13 May 2014	James Cabral	Added 2.6 and 2.7