



# Electronic Court Filing Version 4.01 Errata 02

## Committee Specification Draft 01 / Public Review Draft 01

14 April 2015

### Specification URIs

#### This version:

<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/ecf-v4.01-spec-errata02-csprd01.doc> (Authoritative)  
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/ecf-v4.01-spec-errata02-csprd01.html>  
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/ecf-v4.01-spec-errata02-csprd01.pdf>

#### Previous version:

N/A

#### Latest version:

<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/ecf-v4.01-spec-errata02.doc> (Authoritative)  
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/ecf-v4.01-spec-errata02.html>  
<http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/ecf-v4.01-spec-errata02.pdf>

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#### Additional artifacts:

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

- *Electronic Court Filing Version 4.01 Plus Errata 02*. Edited by Adam Angione and James Cabral. 14 April 2015. OASIS Standard incorporating Public Review Draft 01 of Errata 02. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/ecf-v4.01-spec-errata02-csprd01-complete.html>.
- XML schemas: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/xsd/>.
- XML sample messages: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/xml/>.
- Model: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/model/>.

- Generic code lists: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/gc/>.

#### Related work:

This specification lists errata for:

- *Electronic Court Filing Version 4.01*. 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>.
- *Electronic Court Filing Version 4.01 Errata 01*. 14 July 2014. OASIS Approved Errata. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata01/ecf-v4.01-spec-errata01.html>.

This specification replaces or supersedes:

- *OASIS LegalXML Electronic Court Filing Version 3.0*. Edited by Roger Winters. 15 November 2005. <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*. 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. Any other numbered Versions and other technical work produced by the Technical Committee (TC) are listed at [https://www.oasis-open.org/committees/tc\\_home.php?wg\\_abbrev=legalxml-courtfilling#technical](https://www.oasis-open.org/committees/tc_home.php?wg_abbrev=legalxml-courtfilling#technical).

TC members should send comments on this specification to the TC’s email list. Others should send comments to the TC’s public comment list, after subscribing to it by following the instructions at the “Send A Comment” button on the TC’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 TC’s 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-errata02]**

*Electronic Court Filing Version 4.01 Errata 02*. Edited by James Cabral and Gary Graham. 14 April 2015. OASIS Committee Specification Draft 01 / Public Review Draft 01. <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/csprd01/ecf-v4.01-spec-errata02-csprd01.html>. Latest version: <http://docs.oasis-open.org/legalxml-courtfilling/specs/ecf/v4.01/ecf-v4.01-spec/errata02/ecf-v4.01-spec-errata02.html>.

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# 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>.
- [RFC2392] Levinson, E. “Content-ID and Message-ID Uniform Resource Locators”, RFC 2392, August 1998, <http://www.ietf.org/rfc/rfc2392.txt>
- [ECF-Spec] *Electronic Court Filing Version 4.01*. 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>.

## 1.3 Non-Normative References

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## 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 References to superceded FIPS 180-2 standard

In *ecf-v4.01-spec-os.doc*, replace

#### Document hash

A condensed representation of a document intended to protect document integrity, calculated according to the FIPS 180-2 SHA 256 algorithm.

with

#### Document hash

A condensed representation of a document intended to protect document integrity, calculated according to the FIPS 180-4 SHA 256 algorithm.

and replace

#### [FIPS 180-2]

*Secure Hash Standard*, <http://csrc.nist.gov/publications/fips/fips180-2/fips180-2withchangenotice.pdf>, National Institute for Standards and Technology, August 2002.

with

#### [FIPS 180-4]

*Secure Hash Standard*, <http://csrc.nist.gov/publications/fips/fips180-4/fips-180-4.pdf>, National Institute for Standards and Technology, March 2012.

and replace

### 3.2.8 NotifyFilingReviewComplete

If the clerk rejects the filings or the Filing Review MDE receives the Notify Docketing Complete message, the Filing Review MDE MUST invoke the NotifyFilingReviewComplete operation on the Filing Assembly MDE as a callback message to the ReviewFiling operation to indicate whether the filing was accepted and docketed by the clerk and court record system. The operation MAY return the filed documents or links to the documents, but MUST include the [FIPS 180-2] SHA 256 document hash, a condensed representation of a document intended to protect document integrity.

If the filing included a payment, and the filing was accepted by the clerk and court record system, a receipt for the payment MUST be included in the operation. The Filing Assembly MDE responds synchronously with an acknowledgement of the callback message.

with

### 3.2.8 NotifyFilingReviewComplete

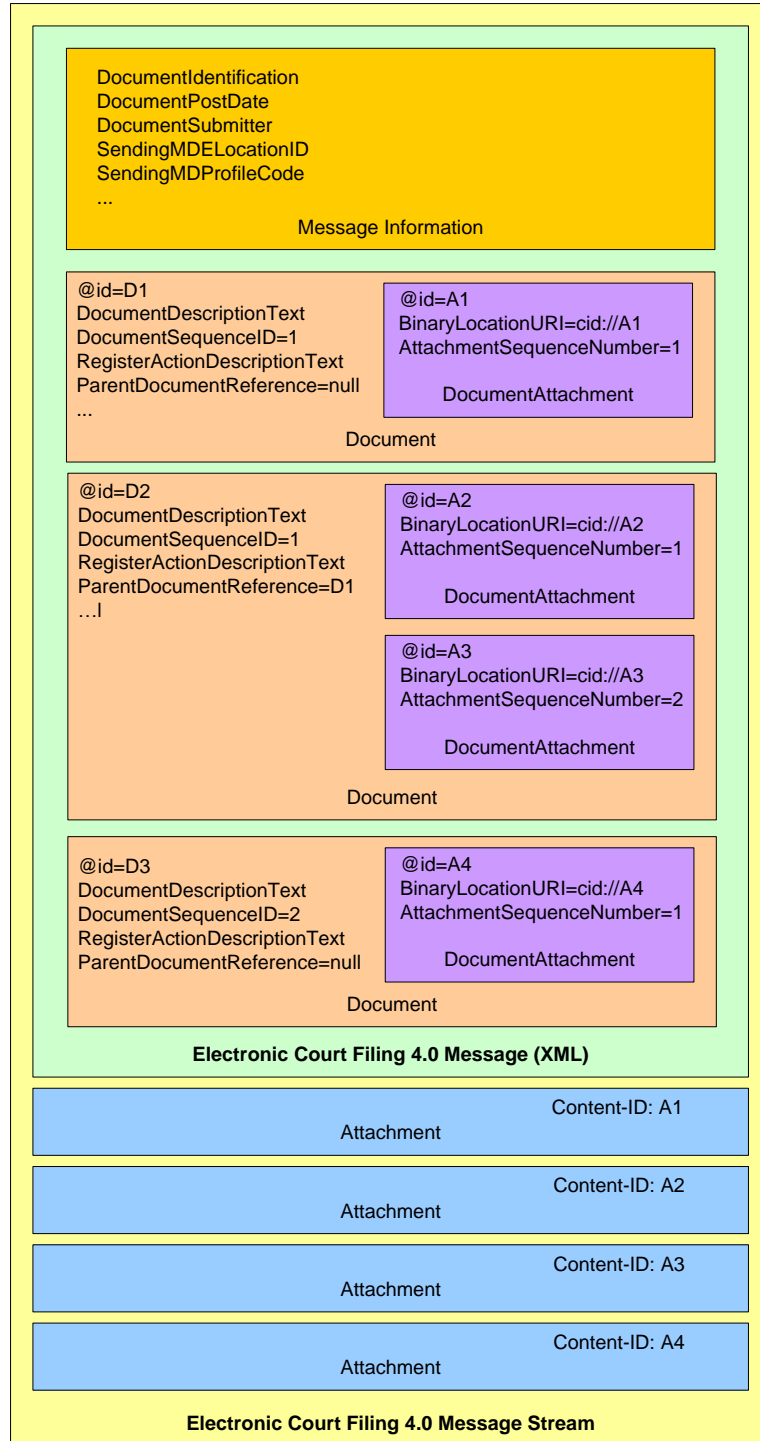
If the clerk rejects the filings or the Filing Review MDE receives the Notify Docketing Complete message, the Filing Review MDE MUST invoke the NotifyFilingReviewComplete operation on the Filing Assembly MDE as a callback message to the ReviewFiling operation to indicate whether the filing was accepted and docketed by the clerk and court record system. The operation MAY return the filed documents or links to the documents, but MUST include the **[FIPS 180-4]** SHA 256 document hash, a condensed representation of a document intended to protect document integrity.

If the filing included a payment, and the filing was accepted by the clerk and court record system, a receipt for the payment MUST be included in the operation. The Filing Assembly MDE responds synchronously with an acknowledgement of the callback message.

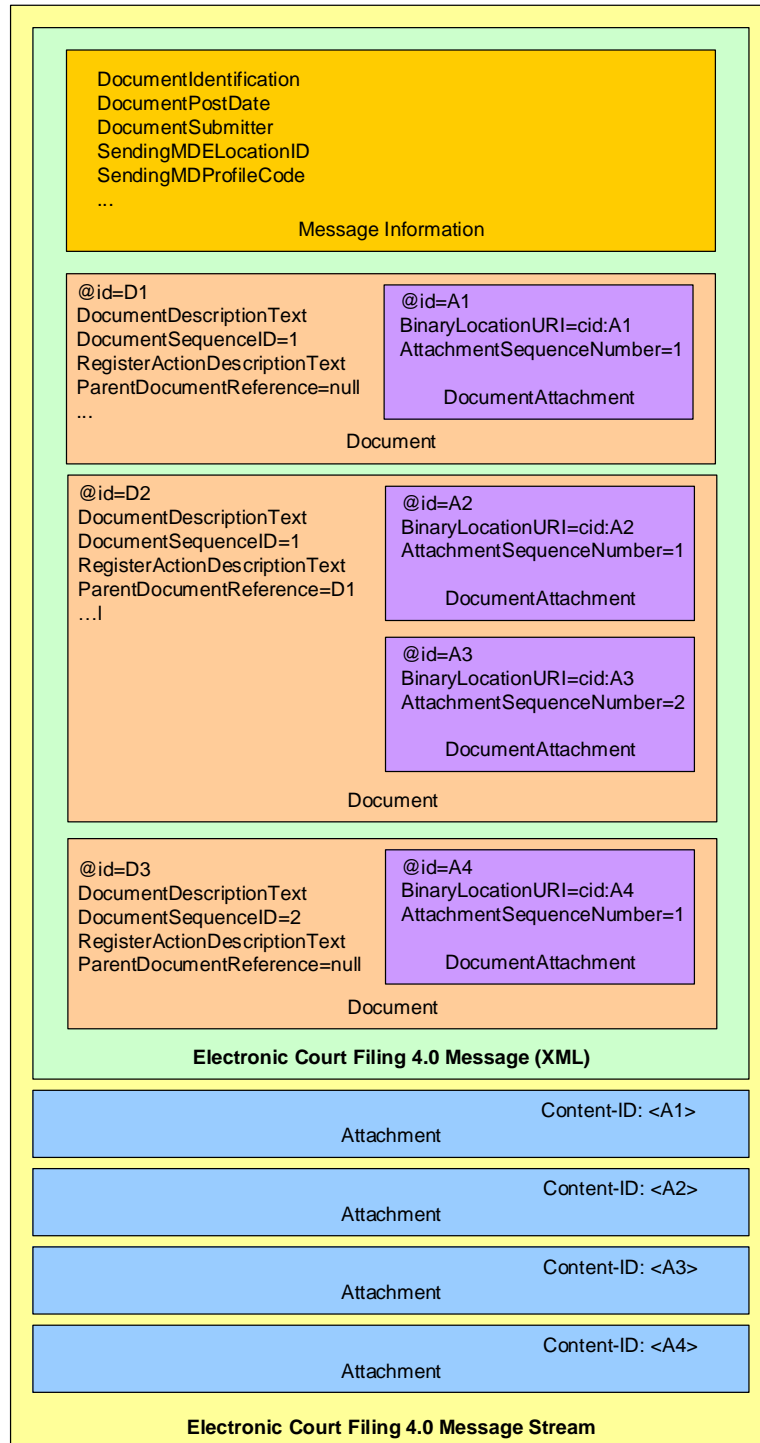


## 2.2 Incorrect attachment Content-IDs and cid: references in Figure 2 to conform with [RFC2392]

In *ecf-v4.01-spec-os.doc*, replace Figure 2



with



## 2.3 Incorrect parameter to operation

In *ecf-v4.01-spec-os.doc*, replace

### C.1.1 Provided Operations

The Filing Assembly MDE provides the following operations to other MDEs:

Operation	Called By	Output	Parameters
NotifyFilingReview Complete	Filing Review MDE	xsd/message/ECF-4.0-MessageReceiptMessage.xsd : MessageReceiptMessage	xsd/message/ECF-4.0-ReviewFilingCallbackMessage.xsd : ReviewFilingCallbackMessage  xsd/message/ECF-4.0-PaymentMessage.xsd : PaymentMessage

with

### C.1.1 Provided Operations

The Filing Assembly MDE provides the following operations to other MDEs:

Operation	Called By	Output	Parameters
NotifyFilingReview Complete	Filing Review MDE	xsd/message/ECF-4.0-MessageReceiptMessage.xsd : MessageReceiptMessage	xsd/message/ECF-4.0-ReviewFilingCallbackMessage.xsd : ReviewFilingCallbackMessage  xsd/message/ECF-4.0-PaymentReceiptMessage.xsd : PaymentReceiptMessage

## 2.4 Incorrect references to FilingPaymentMessage

Replace

### 3.3.3.2 FilingPaymentMessage

ECF 4.0 supports multiple particular payment processes. Information about a payment is included in the **FilingPaymentMessage** including the method of payment of the applicable fees, e.g., electronic funds transfer, credit or debit card, charge to an escrow account held in the court or promise to pay in the future. The payment MAY include a maximum amount for the payment if some latitude is needed to accomplish the filing.

with

### 3.3.3.2 PaymentMessage

ECF 4.0 supports multiple particular payment processes. Information about a payment is included in the **PaymentMessage** including the method of payment of the applicable fees, e.g., electronic funds transfer, credit or debit card, charge to an escrow account held in the court or promise to pay in the future. The payment MAY include a maximum amount for the payment if some latitude is needed to accomplish the filing.

## 2.5 References to UBL 2.1 Public Review Draft (now an OASIS Standard)

In *xsd/message/ECF-4.0-PaymentMessage.xsd*, replace

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

with

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

In *xsd/message/ECF-4.0-FeesCalculationResponseMessage.xsd*, replace

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

with

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

In *xsd/message/ECF-4.0-PaymentReceiptMessage.xsd*, replace

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

with

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

## 2.6 Incorrect reference in message

In *xml/ECF-4.0-CoreFilingMessage-Criminal2.xml*, replace

```
...
<j:CaseAugmentation>
  <j:CaseCourt>
    <nc:OrganizationIdentification>
      <nc:IdentificationID>1</nc:IdentificationID>
    </nc:OrganizationIdentification>
    <j:CourtName>Municipal Court</j:CourtName>
  </j:CaseCourt>
  <j:CaseRespondentParty>
    <nc:EntityPersonReference s:ref="Person1"/>
  </j:CaseRespondentParty>
</j:CaseAugmentation>
<ecf:CaseAugmentation>
  <ecf:CaseParticipant s:id="Person1">
    <ecf:EntityPerson>
      <nc:PersonBirthDate>
        <nc>Date>1983-01-01</nc>Date>
      </nc:PersonBirthDate>
    </ecf:EntityPerson>
  </ecf:CaseParticipant>
</ecf:CaseAugmentation>
...
```

with

```
...
<j:CaseAugmentation>
  <j:CaseCourt>
    <nc:OrganizationIdentification>
      <nc:IdentificationID>1</nc:IdentificationID>
    </nc:OrganizationIdentification>
    <j:CourtName>Municipal Court</j:CourtName>
  </j:CaseCourt>
  <j:CaseRespondentParty>
    <nc:EntityPersonReference s:ref="Person1"/>
  </j:CaseRespondentParty>
</j:CaseAugmentation>
```

```
</j:CaseCourt>
<j:CaseRespondentParty>
  <nc:EntityPersonReference s:ref="Person1"/>
</j:CaseRespondentParty>
</j:CaseAugmentation>
<ecf:CaseAugmentation>
  <ecf:CaseParticipant>
    <ecf:EntityPerson s:id="Person1">
      <nc:PersonBirthDate>
        <nc>Date>1983-01-01</nc>Date>
      </nc:PersonBirthDate>
    </ecf:EntityPerson>
  </ecf:CaseParticipant>
</ecf:CaseAugmentation>
</j:CaseAugmentation>
...

```

---

## Appendix A. Acknowledgments

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

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Jim Price,	Arizona Supreme Court
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## Appendix B. Revision History

Revision	Date	Editor	Changes Made
Wd01	14 April 2015	James Cabral, Gary Graham	Initial version