**LegalXML ECF 5 Civil Complaint Examples**

As of Working Draft 36 – Use case series revision 04

This document provides use case descriptions and other supplemental information for a set of example ECF-5 xml exchanges. This use case collection is based on Barbara Holmes Use case #300 – Case Initiation Civil Complaint, alternative 1 (self-represented plaintiff). These examples are consistent with working draft 36 (wd36).

**General Description:**

This example set contains 22 individual XML instance documents that together comprise a round-trip ‘plus’ (+) use case example for a simple civil complaint case initiation filing.

XML Instance Examples:

1. Civil-complaint-001-ReviewFilingRequest-04.xml
2. Civil-complaint-002-ReviewFilingResponse-04.xml
3. Civil-complaint-003-GetFilingStatusRequest-04.xml
4. Civil-complaint-004-GetFilingStatusResponse-04-xml
5. Civil-complaint-005-RecordDocketingRequest-04.xml
6. Civil-complaint-006-RecordDocketingResponse-04.xml
7. Civil-complaint-007-NotifyDocketingCompleteRequest-04.xml
8. Civil-complaint-008-NotifyDocketingCompleteResponse-04.xml
9. Civil-complaint-009-NotifyFilingReviewCompleteRequest-04.xml
10. Civil-complaint-010-NotifyFilingReviewCompleteResponse-04.xml
11. Civil-complaint-011-GetCaseRequest-04.xml
12. Civil-complaint-012-GetCaseResponse-04.xml
13. Civil-complaint-013-GetFilingListRequest-04.xml
14. Civil-complaint-014-GetFilingListResponse-04.xml
15. Civil-complaint-015-GetDocumentRequest-Complaint-04.xml
16. Civil-complaint-016-GetDocumentRequest-Exhibit-04.xml
17. Civil-complaint-017-GetDocumentResponse-Complaint-04.xml
18. Civil-complaint-018-GetDocumentResponse-Exhibit-04.xml
19. Civil-complaint-019-ReviewFilingRequest-ProofofService-04.xml
20. Civil-complaint-020-ReviewFilingResponse-ProofofService-04.xml
21. Civil-complaint-021-ReviewFilingRequest-Answer-04.xml
22. Civil-complaint-022-ReviewFilingResponse-Answer-04.xml

All XML instance examples are annotated using XML comments. Some annotations simply provide additional clarifying information. Other annotations raise considerations or seek answers to questions. Key questions or issues are repeated in this document within a table for each message, where applicable.

**Descriptions of Examples:**

The example XML instances comprise a full set of all the exchanges that may typically occur from the case initiation filing, by the plaintiff, of a civil complaint, with an attached exhibit document, and a defendant summons. This includes the case initiation submittal, clerk review, status querying, docketing and subsequent callback messages.

Once the initial filing life-cycle has concluded, then this use case continues with multiple ‘get’ requests (i.e. GetCaseRequest, GetFilingListRequest, and GetDocumentRequest) to obtain various information and document content resulting from the initial complaint filing.

Finally, this use case includes two additional ReviewFilingRequest submittals which represent typical subsequent case filing activities which are responsive to the initial complaint filing. These are: (1) filing of the proof of service of the summons, and (2) filing of the answer to the complaint. The full round-trip XML instances for these two additional submittals are not included in this use case collection.

This use case does not include all possible ECF 5 exchanges. For example, GetPolicy, ServeFiling, GetFeesCalculation, and DocumentStampInformation are not included. Future additional use cases should include these exchanges.

Additionally, this use case does not address all possible variations that could occur even within the limited scope of a civil complaint filing. For example, case information modifications made in clerk review are not included. Multi-episode clerk review is not included. Lead documents with multiple connected documents have not been included. Alternative language document renditions have not been included. Pro Hac Vice attorneys have not been included. Errant conditions and rejections are not included, etc. Additional use case examples should be created for these and other variations.

**Civil-complaint-001-ReviewFilingRequest-04.xml**

In this example filing:FilingMessage a single self-represented plaintiff person (i.e. John W. Doe) submits a complaint for filing with the Civil Court. The complaint has an attached (e.g. connected) exhibit document. The filing is a case initiation submittal. A summons for the defendant is also provided in the submission.

**Civil-complaint-002-ReviewFilingResponse-04.xml**

This example message is synchronously returned to the FAMDE by the FRMDE upon receipt of civil-complaint-001-ReviewFilingRequest-04.xml. This response message returns the filing identifier assigned by the Filing Review MDE to the Filing Assembly MDE.

**Civil-complaint-003-GetFilingStatusRequest-04.xml**

In this use case scenario, the original e-filing submitter wants to know what is going on with his submission and submits a GetFilingStatusRequest. Unbeknownst to the submitter, the submission is sitting in a clerk review queue awaiting clerk review.

The filing is referenced using the Filing Identifier assigned by the Filing Review MDE (i.e. the [ECF] filing identifier) and returned to the FAMDE on the ReviewFilingResponse.

**Civil-complaint-004-GetFilingStatusResponse-04.xml**

This message is the response to the previous GetFilingStatusRequest.

**Civil-Complaint-005-RecordDocketingRequest-04.xml**

This 'exchange' occurs at the conclusion of clerk review. Consistent with a minimalist example, this is a single episode clerk review (e.g. all submitted documents were reviewed and dispositioned in a single clerk review episode, thus resulting in a single 'exchange' (i.e. a single RecordDocketingRequest).

The complaint and exhibit documents are accepted by the reviewing clerk in the clerk review function.

The clerk review system assigns its own unique case tracking ID which is independent from any case tracking ID assigned by the court in the Court Record MDE (e.g. case management system).

Upon acceptance of the complaint document in clerk review, a new file stamped rendition is generated. Both the original rendition and the file stamped rendition are provided to the Court Record MDE. To keep this use case as simple as possible, the new ECF5 DocumentStampInformation request is not included to obtain the case number prior to document stamping (this should be included in future additional use cases).

The exhibit is not file stamped and therefore there is no new rendition introduced within clerk review.

The summons is 'issued' (not 'accepted') by the clerk in clerk review. When 'issued' a new 'issued stamped' rendition of the summons is added and provided to the Court Record MDE. The Court Record MDE will return the 'issued stamped' summons to the FAMDE in the NotifyDocketingCompleteRequest. The Court Record MDE will not file/docket the summons.

**Civil-complaint-006-RecordDocketingResponse-04.xml**

This example message is synchronously returned to the FRMDE by the CRMDE upon receipt of civil-complaint-005-RecordDocketingRequest-04.xml.

**Civil-Complaint-007-NotifyDocketingCompleteRequest-04.xml**

This exchange results from the conclusion of 'docketing' by the Court Record MDE.

The Filing Identifier assigned by the FRMDE upon receipt of the ReviewFilingRequest (i.e. the [EFC] filing identifier) is returned.

The court’s case number and a CMS case tracking ID are assigned in this operation.

Those documents, filed in the court and archived within the Court Record MDE's electronic document management system, are assigned CRMDE unique document rendition identifiers. These identifiers are communicated in this message.

The summons document renditions are not docketed or filed in the court. The 'issued stamped' summons rendition is returned to the original filer through this message (e.g. Payload3).

The Complaint and its connected exhibit document are docketed as a single event in the Court Record MDE. The file stamped rendition of the complaint and the original exhibit are returned.

Document hashes are provided for all renditions returned.

**Civil-complaint-008-NotifyDocketingCompleteResponse-04.xml**

This example message is synchronously returned to the CRMDE by the FRMDE upon receipt of civil-complaint-005-RecordDocketingRequest-04.xml.

**Civil-Complaint-009-NotifyFilingReviewCompleteRequest-04.xml**

This 'exchange' occurs upon receipt, by the Filing Review MDE, of the NotifyDocketingCompleteRequest from the Court Record MDE.

**Civil-complaint-010-NotifyFilingReviewCompleteResponse-04.xml**

This example message is synchronously returned to the CRMDE by the FRMDE upon receipt of civil-complaint-009-NotifyFilingReviewCompleteRequest-04.xml.

**Civil-complaint-011-GetCaseRequest-04.xml**

This example illustrates a Get Case Request following the creation of a new civil case as a result of civil complaint filing submitted in civil-complaint-001-ReviewFilingRequest-04.xml.

**Civil-complaint-012-GetCaseResponse-04.xml**

This 'exchange' is in response to a GetCaseRequest (i.e. civil-complaint-011-GetCaseRequest-04.xml).

The Get Case Request indicated that participant and docket information should be returned in the response. Calendar information was not selected.

The docket information includes external references to the docket event associated documents (i.e. the complaint and exhibit).

Participant information includes local Court Record MDE identifiers for participants (e.g. Participant Matching).

**Civil-complaint-013-GetFilingListRequest-04.xml**

A request to get a list of documents filed in case CV-2017-010110 in 'Civil Court' (10).

**Civil-complaint-014-GetFilingListResponse-04.xml**

A response for a request to get filings for case CV-2017-010110 in 'Civil Court' (10).

This example illustrates a court implementation where only information about documents and document renditions are returned in the response; i.e. the full document binary content is not returned in this example (see filinglistresponse.xml for an example which includes returned binary content). For this example, the requester must make separate GetDocumentRequests to get binary content for one or more filings returned in this response (see civil-complaint-015-GetDocumentRequest-Complaint-04.xml).

**Civil-complaint-015-GetDocumentRequest-Complaint-04.xml**

The requester wants to get/view the complaint and its attached/child exhibit document renditions filed in case CV-2017-010110 in 'Civil Court' (10). However, since only a single document and/or document rendition can be requested in a single GetDocumentRequest, two requests must be made to get the complaint and its attached exhibit. This first request is for the file stamped rendition of the complaint.

The requester has requested both the complaint and the exhibit.

**Civil-complaint-016-GetDocumentRequest-Exhibit-04.xml**

This is the second request in a pair of GetDocumentRequests to get both the file stamped rendition of the complaint and its attached exhibit. This request is for the exhibit document in case CV-2017-010110 in 'Civil Court' (10).

**Civil-complaint-017-GetDocumentResponse-Complaint-04.xml**

A response for a request to get/view the file stamped Complaint document rendition filed in case CV-2017-010110 in 'Civil Court' (10).

The Document Request (i.e. civil-complaint-015-GetDocumentRequest-03.xml) was a request for the file stamped rendition of the complaint.

**Civil-complaint-018-GetDocumentResponse-Exhibit-04.xml**

A response for a request to get/view the exhibit document rendition filed in case CV-2017-010110 in 'Civil Court' (10).

The Document Request (i.e. civil-complaint-016-GetDocumentRequest-Exhibit-04.xml) was a request for the exhibit document. The exhibit is a child document of the complaint document (returned in civil-complaint-017-GetDocumentResponse-Complaint-04.xml). This relationship is described using the nc:DocumentAssociation element. The parent document (i.e. the complaint) is referenced using an external document reference identifier. Specifically, the document association uses the Court Record assigned value as an external reference to the complaint.

**Civil-Complaint-019-ReviewFilingRequest-ProofofService-04.xml**

In this example the process server, Bill K. Racquet, files the proof of service document for service of the summons on defendant Jane Q. Smith.

**Civil-complaint-020-ReviewFilingResponse-ProofofService-04.xml**

This example message is synchronously returned to the FAMDE by the FRMDE upon receipt of civil-complaint-019-ReviewFilingRequest-ProofofService-04.xml.

Response to Proof of Service ReviewFilingRequest.

**Civil-Complaint-021-ReviewFilingRequest-Answer-04.xml**

In this example, the defendant Jane Q. Smith's attorney, Ralph K. Williams, files an answer to the complaint.

**Civil-complaint-022-ReviewFilingResponse-Answer-04.xml**

Response to Answer ReviewFilingRequest.

This example message is synchronously returned to the FAMDE by the FRMDE upon receipt of civil-complaint-021-ReviewFilingRequest-Answer-04.xml.