

XML Standards Development Project Electronic Court Filing Proposed Standard

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Short Statement of Status

Proposed standard for pilot implementation.

Abstract

This Proposed Standard provides the XML DTD required for Court Filing.

Status of Document

This is a Court Filing Work Group Proposed Standard for review and implementation.

Table of Contents

XML Standards Development Project Electronic Court Filing Draft Specification.....	1
1 Introduction	2
1.1 Conventions.....	2
1.2 Document Description.....	2
1.3 Assumptions and Requirements	3
1.4 Terminology	3
1.5 Date and Time Format.....	5
1.6 Authentication	5
2 DTD.....	5
2.1 Transmission Encapsulation.....	15
2.2 CourtFiling	16
2.3 Common to CourtFiling.....	20
2.4 Horizontal to Legal.....	22
3 Appendices	27
3.1 Elements for specific case types	27
3.2 LegalEnvelope XML Example	28
3.3 CourtFiling Submission Example.....	30
3.4 Filing Acknowledgement Example	35
3.5 Query and Response.....	39
3.6 User Descriptions	39

1 Introduction

This document is intended to describe the information required for electronic court filing, and the structure of that information. No information regarding the content of the pleading or other legal device (e.g. contracts, orders, judgments, etc) is included, other than that required to accomplish the task.

This document is a Proposed Standard collaboratively developed by the COSCA/NACM Joint Technology Committee and the Legal XML Court Filing Workgroup. Portions of this document were derived from the Court Filing Strawman collaboratively developed by the U.S. District Court for the District of New Mexico; New Mexico Administrative Office of the Courts; SCT Global Government Solutions, Inc.; and West Group.

This specification is the product of a consensus process. Many items had valuable inputs from multiple viewpoints. They were often not identical. When items needed to be closed they were only done when the question "Is there anyone that can not live with this?" was answered in the negative.

1.1 Conventions

Within this document the term "shall" is used to describe mandatory items. The term "may" is used to describe optional items.

This proposed standard conforms to the XML 1.0 Specification (<http://www.w3.org/TR/REC-xml.html>).

1.2 Document Description

This document includes a DTD used to validate the syntax of XML documents used for court filing. Annotations appearing inside the DTD, which add further definition and specification shall be binding.

Appendices are non-normative and may contain well formed, validated examples. Where conflict arises between an example and the DTD or the body of this document, the body or DTD shall be deemed normative and ruling.

An additional non-normative appendix shall be added to this specification prior to reaching the status of recommendation. It shall contain minority opinions for items where there was significant disagreement. Links to and from the affected sections within this specification may be created and maintained. This is to

support future developers and maintainers with insight into the different viewpoints, which made up this consensus.

1.3 Assumptions and Requirements

1. The three-tier application model is assumed, including three cooperating applications. The application on the users desk or the Electronic Filing Provider (EFP), i.e., the client, the Electronic Filing Manager (EFM), i.e., the server, and the Case Management System.
2. This document, with a few exceptions, does not specify how any of the three cooperating applications will function. Rather, it defines the data elements and data tags for use in such applications.
3. Any EFM application shall have the capability to return an electronic acknowledgment to a filer.
4. The DTD is intended to support both the filing of a pleading initiating a new case and filings in existing cases.
5. The DTD is designed to include all data elements needed by any court. However, any court may limit, as a matter of local policy, the data it will accept in an electronic filing. In particular, a court may refuse to accept:
 - more than one filing in a single envelope,
 - a pleading that initiates a case,
 - payments associated with a filing, and
 - hypertext Links to document residing elsewhere.
6. This document differentiates between filing (see Terminology 1.4, page 3) and docketing of received pleadings, orders, or notices.
7. There is no state maintained at the server between requests for a particular user connection.
8. There will exist a method by which the user identity can be verified.
9. Extraneous data is discouraged. That is, only the information required for successful completion of the transactions should be included.
10. Certain XML document elements are assumed to have their content protected from public view. Other protected data shall be marked explicitly.
11. Tags have been chosen which provide a neutral name where the definition of what some would consider a more appropriate term could vary. For example, in some courts the "filer" is the attorney, in others the "filer" is the party to the case.
12. The DTD is designed to support the inclusion of multiple filings in a single submission for the same case.
13. There is no intent to require multiple packets per individual task. For example, a user asking the system to provide a list of all cases s/he is associated with in order to choose the case for which a pleading is going to be made would require a single exchange of packets. One packet to make the request, the second to supply the answer.

1.4 Terminology

1. application
A generic term used to identify a cooperating system (EFP, or EFM, or CMS).
2. authentication
The process of verifying the identity of the user. This process may reside in either the EFP or the EFM. In either case, authentication data may be included in every envelope.
3. binary document

Electronic Court Filing Draft Specification

A document that contains binary characters. Binary documents are often in a proprietary format (e.g. PDF file, Word document, WordPerfect document). a.k.a.: BLOB (Binary Large Object) It may include non-normative (to this standard) XML.

4. CMS (Case Management System)
Software that records and manages court cases, records, calendars, financial remittances, and other information.
5. CMS/DMS
Case Management System with embedded Document Management System. Depending on implementation, could be a single application.
6. document
 - a. XML document instance
 - b. One or more electronic pleadings or other court devices that can be contained within an XML document.
7. docket entry
The recording in a docket or register of actions of a filing, event, or activity that the court makes part of the official record.
8. docketing
The process invoked when a CMS receives the pleading, order, or notice and no errors in transmission or required content have occurred, and the pleading, order, or notice is recorded as a part of the official record.
9. DMS
Document Management System. Manages, retrieves, and stores documents received electronically.
10. DTD (Document Type Definition)
Used to define the structure (elements and attributes) of an XML document. For a complete overview, see the XML 1.0 Specification (<http://www.w3.org/TR/REC-xml.html>)
11. EFM
Electronic Filing Management. Middle ware. Receives, presents, and manages electronic filing. a.k.a.: server
12. EFP: (Electronic Filing Provider)
Front end. Prepares and submits filings. The EFP is the application on the filer side of the XFP architecture. a.k.a.: client
13. electronic filing
Documents and data submitted to the court by means of an XML based protocol.
14. filing
The set of electronic documents and associated metadata included in a submission intended to be docketed. This document or collection of documents is either accepted or rejected by the court. It should be noted that, in some courts, filing means acceptance of a packet of associated documents. This is opposed to docketing, which is the recording of a packet of associated document into the case docket.
15. filing data
All data that is necessary to provide a useful and complete electronic filing and electronic access.
16. filing metadata
Data about the documents within a filing. For every electronic submission, metadata flows from an EFP to a CMS/DMS.
17. party
For the purposes of this document, party refers only to those persons directly affected by the outcome of the case. i.e. defendants, plaintiffs, and etc. In particular, judges, or attorneys representing one of the parties are not considered parties to the case.

- 18. Place holder
An element name reserved for future expansion of the standard.
- 19. submission
A filing or group of filings delivered to the court.
- 20. user
The person sitting at the keyboard of the remote machine.

1.5 Date and Time Format

Document times and dates follow the standards set by ISO 8601 (the ISO standard for numerical date/time interchange formats). Specifically, dates shall be expressed using the Gregorian Calendar and the form `ccyy[mm[dd]]`. For example, 19990102 represents 2 January, 1999. All components shall be zero-padded to two digits.

Times shall be expressed in Coordinated Universal Time (UTC), using the form `hh[:mm[:ss]]Z`. For example, 22:04:38Z represents thirty-eight seconds after 10:04 PM. A Z shall be appended to the end. ISO 8601 uses this convention to express times in UTC. All components shall be zero-padded to two digits.

1.6 Authentication

Authentication is shown with place holders only.

It is assumed that HTTP basic authentication is provided, and therefore, Username and Password data elements are provided.

2 DTD

```
<!--
  Creation Date: 15 March 2000
  Creation Time: 15:20Z

  Elements have been organized into three types.
  1. Primary and secondary elements with an association to only one parent
     (e.g. CC, SpecialHandling)
  2. Common elements with an association to more than one parent (e.g.
     Actor, Authentication)
  3. Horizontal elements useful in other Legal DTD's (e.g. Name, Address)

  The elements are listed in the order specified above.

  Indentation is used to indicate secondary elements.

  Lines are wrapped at around column 75 to facilitate printing paper.

  One change from agreed upon naming convention was approved. ID is
  acceptable when it is an element attribute. Otherwise, ID is
  converted to Identification or Identifier.

  This file has been validated with IBM's AlphaWorks VisualDTD product.
-->

<!-- Root ELEMENT of all Legal XML -->
<!ELEMENT LegalEnvelope (MessageIdentification, From, ReplyTo?, To, CC?,
BCC?, Memo*, Creation, DataIntegrity?, PaymentInformation?, Authentication?,
Legal)>
  <!--
    Attribute specifying version number 1.0 if present, must be 1.0.
    If absent, is assumed to be 1.0
  -->
  <!ATTLIST LegalEnvelope Version CDATA #FIXED "1.0">
  <!--
    MessageIdentification is a string used to identify the receipt or
```

Electronic Court Filing Draft Specification

```
response sent as a result of this transmission. i.e. Response and
Confirmation shall use the same MessageIdentification as used in
the corresponding transmission.
-->
<!ELEMENT MessageIdentification (#PCDATA)>
<!--
    From identifies the sender
-->
<!ELEMENT From (Addressee)>
<!--
    ReplyTo is used identify where to send the Confirmation or Response.
    If omitted, the From address shall be used for this purpose.
-->
<!ELEMENT ReplyTo (Addressee)>
<!--
    Courts may specify that To, CC, and BCC do not satisfy the
    requirement for certificate of service
-->
<!--
    To identifies the recipient of this transmission
-->
<!ELEMENT To (Addressee+)>
<!--
    CC identifies others receiving this transmission
-->
<!ELEMENT CC (Addressee+)>
<!--
    BCC identifies others receiving this transmission
-->
<!ELEMENT BCC (Addressee+)>
    <!ELEMENT Addressee (Name?,(Address | Email | Fax | URI))>
<!--
    date and time this envelope was created
-->
<!ELEMENT Creation (Date,Time)>
<!--
    DataIntegrity - Place holder for specifying how message content was
    validated.
-->
<!ELEMENT DataIntegrity ANY>

<!--
    Legal Generic tag preceding all legal related XML.
    In other legal DTD's, Legal will have different productions.
-->
<!ELEMENT Legal (CourtFiling)>

<!--
    CourtFiling allows multiple filings. Each filing consists of a
    single lead document for one case in one court, with any number of
    attachments. CourtFiling allows multiple confirmations. Each
    confirmation represents the response to one filing.

    NOTES:
    1. In version 1.0, CourtInformation and CaseInformation are required
       to be the same in each filing.
    2. Filing may be limited to one filing per envelope by court policy
-->

<!ELEMENT CourtFiling (Filing+ | Confirmation+ | Query | Response)>

<!--
    Filing specifies one filing for one case in one court.
    A filing consists of a lead document with zero or more attachments.
-->

<!ELEMENT Filing (Actors, FilingInformation, LeadDocument)>
<!--
    Attribute Privacy is used as a request to the court, or as a court
    assignment
-->
```

Electronic Court Filing Draft Specification

```
<!ATTLIST Filing Privacy CDATA #IMPLIED>

<!--
FilingInformation contains all information not necessarily in document
-->
<!ELEMENT FilingInformation (SpecialHandling?, PaymentInformation*,
Authentication*, CourtInformation, CaseInformation, Actors?, Memo?)>
  <!-- ID is referenced in Confirmation -->
  <!ATTLIST FilingInformation ID ID #REQUIRED>
  <!ATTLIST FilingInformation Privacy CDATA #IMPLIED>
  <!--
      SpecialHandling used to request user intervention at the receiving
      court
  -->
  <!ELEMENT SpecialHandling (#PCDATA)>

<!--
LeadDocument
-->
<!ELEMENT LeadDocument (DocumentInformation, DocumentContent, Attachment*,
Authentication*)>
<!ATTLIST LeadDocument ID ID #REQUIRED> <!-- ID is referenced in Confirmation -->

<!--
DocumentInformation could contain some of the same information that is
included in the document.
Information appearing in both FilingInformation and DocumentInformation
shall be by reference only. An ID is assigned to information in
FilingInformation and that ID is referred to DocumentInformation, rather than
repeating the entry. It is not an error if content is included both places.
-->
<!ELEMENT DocumentInformation (Actors, DateTimeSubmitted, DocumentDescription,
(AdministrativeLaw | Appeals | Bankruptcy | Civil | Criminal
| DomesticRelations | Juvenile | Probate | SmallClaims | Traffic)?,
Matter*, CauseOfAction*)>
  <!ELEMENT DateTimeSubmitted (Date,Time)>
  <!ELEMENT DocumentDescription (DocumentTitle, DocumentType*)>
    <!--
      Document title is the name given to the document by the
      attorney
    -->
    <!ELEMENT DocumentTitle (#PCDATA)>
    <!--
      DocumentType shall be the court specified name assigned by the
      Court specified in CourtInformation
    -->
    <!ELEMENT DocumentType (#PCDATA)>
    <!--
      Attribute DocumentCode used by those courts that don't want to
      do a reverse look-up on the document name to retrieve the event
      code
    -->
    <!ATTLIST DocumentType DocumentCode CDATA #IMPLIED>
    <!--
      All of the elements dealing with specifics of a particular kind
      of filing are place holders. It is expected that the various
      working groups will define the content model for each element
    -->
    <!ELEMENT AdministrativeLaw ANY>
    <!ELEMENT Appeals ANY>
    <!ELEMENT Bankruptcy ANY>
    <!ELEMENT Civil ANY>
    <!ELEMENT Criminal ANY>
    <!ELEMENT DomesticRelations ANY>
    <!ELEMENT Juvenile ANY>
    <!ELEMENT Probate ANY>
    <!ELEMENT SmallClaims ANY>
    <!ELEMENT Traffic ANY>

<!--
DocumentContent can be either a hyperlink, or ObjectID, or text, or a base64
```

Electronic Court Filing Draft Specification

```
        encoded blob
-->
<!ELEMENT DocumentContent (#PCDATA)>
  <!ATTLIST DocumentContent ID ID #REQUIRED>
  <!-- Size is size of PCDATA enclosed by DocumentContent -->
  <!ATTLIST DocumentContent Size CDATA #IMPLIED>
  <!-- mimeType specifies the contents of the decoded PCDATA -->
  <!ATTLIST DocumentContent mimeType CDATA #REQUIRED>
  <!-- ContentEncoding initially requires all binary be Base 64 encoded -->
  <!ATTLIST DocumentContent ContentEncoding (Base64) #IMPLIED>
  <!-- Court policy may prohibit the use of href -->
  <!ATTLIST DocumentContent href CDATA #IMPLIED>

<!--
Attachment can have attachments
-->
<!ELEMENT Attachment (AttachmentDocumentInformation, DocumentContent,
Authentication*, Attachment*)>
  <!-- ID is referenced in Confirmation -->
  <!ATTLIST Attachment ID ID #REQUIRED>
  <!--
        The only difference between an AttachmentDocumentInformation and a
        DocumentInformation is that Actor becomes zero or more instances.
        This allows Actors to span the entire set documents included within
        a single LeadDocument.
-->
  <!ELEMENT AttachmentDocumentInformation (Actors?, DateTimeSubmitted,
DocumentDescription, (AdministrativeLaw | Appeals | Bankruptcy | Civil
| Criminal | DomesticRelations | Juvenile | Probate | SmallClaims
| Traffic)?, Matter*, CauseOfAction*)>
  <!ATTLIST AttachmentDocumentInformation ID ID #REQUIRED>

<!--
Confirmation is used to return the confirmation of the filing information
to the sender of the CourtFiling
-->
<!ELEMENT Confirmation (Actors?, TimeStamp, ConfirmationInformation)>
<!--
ConfirmationInformation corresponds to FilingInformation in the
submission being responded to.
-->
<!ELEMENT ConfirmationInformation (Fee*, CourtInformation?,
CaseInformation?, Actors*, LeadDocumentDisposition+)>
  <!--
        Attribute RefersTo identifies the FilingInformation submission.
-->
  <!ATTLIST ConfirmationInformation RefersTo CDATA #REQUIRED>
  <!--
        Attribute FilingDisposition terms are fully defined in the
        specification
        TransmissionError: </LegalEnvelope> not received.
        Acknowledged: Transmission received OK
-->
  <!ATTLIST ConfirmationInformation FilingDisposition (TransmissionError
| Acknowledged) #REQUIRED>
  <!--
        One LeadDocumentDisposition is required for each LeadDocument
        submitted.
-->
  <!ELEMENT LeadDocumentDisposition (TimeStamp, CourtDocumentReference, Memo?,
AttachmentDisposition*)>
  <!-- Attribute RefersTo is the ID from the LeadDocument -->
  <!ATTLIST LeadDocumentDisposition RefersTo CDATA #REQUIRED>
  <!--
        Attribute FilingDisposition terms are fully defined in the
        specification
        TransmissionError: </LegalEnvelope> not received.
        Acknowledged: Transmission received OK
        Received: Filed
        Accepted: Docketed
        Partial: Part of filing was docketed
-->
```


Electronic Court Filing Draft Specification

```
Deferred: Received but not acted upon
Rejected: We can't accept this
-->
<!ATTLIST LeadDocumentDisposition FilingDisposition (TransmissionError
| Acknowledged | Received | Accepted | Partial | Deferred | Rejected)
#REQUIRED>
<!--
    CourtDocumentReference is the court specified document reference
-->
<!ELEMENT CourtDocumentReference (#PCDATA)>
<!--
    href allows the court to return the location of the
    electronically filed document
-->
<!ATTLIST CourtDocumentReference href CDATA #IMPLIED>
<!ELEMENT AttachmentDisposition (CourtDocumentReference)>
<!--
    Attribute RefersTo is the ID from the
    attachment included in the Filing
-->
<!ATTLIST AttachmentDisposition RefersTo CDATA #REQUIRED>
<!--
    Attribute Disposition terms are defined in the
    specification
-->
<!ATTLIST AttachmentDisposition Disposition
(Received|Accepted|Rejected) #REQUIRED>

<!--
    Query is a place holder, Request for court supplied information follows this tag
    Empty elements may be used to request court policy on the content of
    those elements
-->
<!ELEMENT Query ANY>

<!--
    Response is a place holder. Information requested by a Query message
    follows this tag
-->
<!ELEMENT Response ANY>

<!--
    Common elements start here and are in alphabetical order.

    Primary and secondary elements are indicated by indentation as before.
-->

<!--
    It is expected that the <Actors> element of <Filing> will contain the
    full definition all the actors contained within the filing. All actors
    within <FilingInformation>, <LeadDocument>, or <Attachment> will be by
    reference to one of the Actors contained within the <Actors> element of
    <Filing>.
-->
<!ELEMENT Actors (Actor+)>
<!--
    Actor
    All the elements in Actor are optional to allow for EMPTY Actor elements
    that only reference a complete Actor element elsewhere.
-->
<!ELEMENT Actor (Title?, Name?, Address*, Telephone*, Email*, Group*,
PersonDescription*, (PersonIdentifier | BarMembershipInformation)*, Role*,
Characteristic*)>
<!-- ID allows linking to this element -->
<!ATTLIST Actor ID ID #REQUIRED>
<!--
    Reference allows linking to another (complete) Actor declaration
    within this transmission.
-->
<!ATTLIST Actor Reference IDREF #IMPLIED>
<!--
```

Electronic Court Filing Draft Specification

```
RefersTo is used when the element being referred to is not contained
within this document. e.g. RefersTo is sent as part of a Confirmation,
and refers to this Actors ID specified by the sender of the Filing.
-->
<!ATTLIST Actor RefersTo CDATA #IMPLIED>
<!ATTLIST Actor Privacy CDATA #IMPLIED>
<!ELEMENT Title (#PCDATA)>
<!--
    PersonIdentifier | BarMembershipInformation within Actor are used for
    disambiguating persons with the same or similar names, and to
    uniquely identify an entity on a case initiation
-->
<!ELEMENT Role (RoleName,RoleWith*)>
  <!ELEMENT RoleName (#PCDATA)>
  <!--
    RoleWith is an empty element used to supply the references
    to other Actors and Matters
  -->
  <!ELEMENT RoleWith EMPTY>
    <!ATTLIST RoleWith ActorID IDREF #IMPLIED>
    <!ATTLIST RoleWith MatterID IDREF #IMPLIED>
<!ELEMENT Characteristic (CharacteristicName,CharacteristicValue)>
  <!ELEMENT CharacteristicName (#PCDATA)>
  <!ELEMENT CharacteristicValue (#PCDATA)>

<!-- Authentication - Place holders for authenticating the sender-->
<!ELEMENT Authentication ((UserIdentification, Password?) | Signature)>
  <!ELEMENT UserIdentification (#PCDATA)>
  <!ELEMENT Password (#PCDATA)>

<!--
    CaseInformation includes all the case information for this Filing.
    FullCaseNumber, CaseNumber, and CaseTitle are all optional to
    allow case initiation to proceed without prior assignment of a
    case number.
-->
<!ELEMENT CaseInformation (FullCaseNumber?, CaseTitle?, CaseCategory?,
CaseYear?, LineageCaseNumber*, FilersCaseNumber?)>
  <!--
    Attribute ID may be referred to by LineageCaseNumber or
    FilersCaseNumber
  -->
  <!ATTLIST CaseInformation ID ID #IMPLIED>
  <!--
    Attribute NewCase defaults to false. Court policy may limit
    NewCase to false.
  -->
  <!ATTLIST CaseInformation NewCase (true|false) "false">
  <!--
    FullCaseNumber includes all qualifiers necessary to completely
    specify the case within it's venue e.g. court type, court
    location, category, year, number, etc.
  -->
  <!ELEMENT FullCaseNumber (#PCDATA)>
  <!ELEMENT CaseTitle (#PCDATA)>
  <!ELEMENT CaseCategory (#PCDATA)>
  <!ELEMENT CaseYear (#PCDATA)>
  <!-- LineageCaseNumber is a previous case number -->
  <!ELEMENT LineageCaseNumber (FullCaseNumber?, CaseTitle?,
CaseCategory?, CaseYear?, LineageCaseNumber*)>
  <!ATTLIST LineageCaseNumber ID ID #IMPLIED>
  <!ATTLIST LineageCaseNumber ReferenceCase IDREF #REQUIRED>
  <!--
    FilersCaseNumber is a string used by the originator of the
    filing to identify the case in the originators application.
    It is most useful in case initiation because the court
    generated case number is returned on a case open event.
  -->
  <!ELEMENT FilersCaseNumber (#PCDATA)>
  <!ATTLIST FilersCaseNumber ReferenceCase IDREF #IMPLIED>
```

Electronic Court Filing Draft Specification

```
<!-- CauseOfAction - Place holder -->
<!ELEMENT CauseOfAction (#PCDATA)>
<!ATTLIST CauseOfAction ID IDREF #REQUIRED>

<!ELEMENT CourtInformation (Location | (CourtType, CourtName) |
(Location, CourtType, CourtName))>
  <!ELEMENT CourtType (#PCDATA)> <!-- Court specific type code -->
  <!ELEMENT CourtName (#PCDATA)> <!-- Description of court -->

<!-- Charge - Place holder -->
<!ELEMENT Charge (ChargeName, ChargeCode)>
  <!-- Against refers to an Actor -->
  <!ATTLIST Charge Against IDREF #REQUIRED>
  <!ELEMENT ChargeName (#PCDATA)>
  <!ELEMENT ChargeCode (#PCDATA)>

<!-- Matter - Place holder -->
<!ELEMENT Matter (#PCDATA)>
<!ATTLIST Matter ID ID #IMPLIED>

<!--
  Memo provides human readable text, ignored by applications
-->
<!ELEMENT Memo (#PCDATA)>

<!--
  TimeStamp
-->
<!ELEMENT TimeStamp (Date,Time)>

<!--
  Horizontal data elements start here.

  They are in alphabetical order of the primary element name.

  As with previous sections, indentation indicates secondary elements
-->

<!--
  Address is a postal location to which paper mail can be directed
-->
<!ELEMENT Address (AddressLine+, AddressCity, AddressCounty?, AddressState,
AddressPostalCode, AddressCountry?)>
  <!-- Type of Address home, business, school etc. -->
  <!ATTLIST Address Type CDATA #REQUIRED>
  <!-- Status - active, inactive, or other status -->
  <!ATTLIST Address Status CDATA #IMPLIED>
  <!-- StatusDate - effective date of AddressStatus -->
  <!ATTLIST Address StatusDate CDATA #IMPLIED>
  <!--
    text Address lines, also text for locations that don't have an
    Address system
  -->
  <!ELEMENT AddressLine (#PCDATA)>
  <!ELEMENT AddressCity (#PCDATA)>
  <!ELEMENT AddressCounty (#PCDATA)>
  <!ELEMENT AddressState (#PCDATA)>
  <!-- the zip or postal code -->
  <!ELEMENT AddressPostalCode (#PCDATA)>
  <!-- the ISO country code -->
  <!ELEMENT AddressCountry (#PCDATA)>

<!--
  Bar membership information
-->
<!ELEMENT BarMembershipInformation (BarNumber,LicenseAuthority,YearAdmitted?,BarStatus?)>
  <!-- Licensing state, or other authority -->
  <!ELEMENT LicenseAuthority (#PCDATA)>
  <!ELEMENT BarNumber (#PCDATA)>
  <!ELEMENT YearAdmitted (#PCDATA)>
```

Electronic Court Filing Draft Specification

```
<!ELEMENT BarStatus (#PCDATA)>

<!--
  Date in ISO 8601 format YYYYMMDD
-->
<!ELEMENT Date (#PCDATA)>

<!--
  electronic mail address
-->
<!ELEMENT Email (#PCDATA)>
  <!-- Type of Address home, business, school etc. -->
  <!ATTLIST Email Type CDATA #REQUIRED>
  <!-- Status - active, inactive, or other status -->
  <!ATTLIST Email Status CDATA #IMPLIED>
  <!-- StatusDate - effective date of AddressStatus -->
  <!ATTLIST Email StatusDate CDATA #IMPLIED>

<!--
  Entity identifies legal persons
-->
<!ELEMENT Entity (FullName, EntityAbbreviatedName?, EntityAcronym?, NameAlias*)>
  <!ATTLIST Entity Type CDATA #REQUIRED>
  <!ELEMENT EntityAbbreviatedName (#PCDATA)>
  <!ELEMENT EntityAcronym (#PCDATA)>

<!--
  FAX address
-->
<!ELEMENT Fax (#PCDATA)>
  <!-- Type of Address home, business, school etc. -->
  <!ATTLIST Fax Type CDATA #REQUIRED>
  <!-- Status - active, inactive, or other status -->
  <!ATTLIST Fax Status CDATA #IMPLIED>
  <!-- StatusDate - effective date of AddressStatus -->
  <!ATTLIST Fax StatusDate CDATA #IMPLIED>

<!--
  Fee is the court imposed payment information
  as opposed to PaymentInformation supplied by the filer of
  the Filing
-->
<!ELEMENT Fee (#PCDATA)>
<!ATTLIST Fee Type CDATA #REQUIRED>

<!--
  FullName used in Entity and Person to hold full name
-->
<!ELEMENT FullName (#PCDATA)>

<!--
  Group specifies membership in an collection of Actors.
  e.g. members of a Judge's staff
-->
<!ELEMENT Group (GroupName, GroupRelationship?, GroupLocation?)>
  <!-- ID is group's identification number -->
  <!ATTLIST Group ID ID #REQUIRED>
  <!-- coded field that defines Group -->
  <!ATTLIST Group Qualifier CDATA #REQUIRED>
  <!-- Status of association with group -->
  <!ATTLIST Group Status CDATA #REQUIRED>
  <!-- StatusDate - date of status -->
  <!ATTLIST Group StatusDate CDATA #REQUIRED>
  <!-- StatusDateQualifier - e.g. Temporary, expires on, etc. -->
  <!ATTLIST Group StatusDateQualifier CDATA #IMPLIED>
  <!-- Name of group -->
  <!ELEMENT GroupName (#PCDATA)>
  <!-- relationship between this and other groups -->
  <!ELEMENT GroupRelationship (#PCDATA)>
  <!-- group location -->
```

Electronic Court Filing Draft Specification

```
<!ELEMENT GroupLocation (#PCDATA)>

<!--
  Location used to identify locations
-->
<!ELEMENT Location (LocationText?, Address?, RelatedLocation?,
LocationFunction?)>
  <!ATTLIST Location ID ID #REQUIRED>
  <!-- Qualifier coded field that defines location / facilities -->
  <!ATTLIST Location Qualifier CDATA #IMPLIED>
  <!-- text associated with location -->
  <!ELEMENT LocationText (#PCDATA)>
  <!-- agreed upon table of related locations/facilities -->
  <!ELEMENT RelatedLocation (#PCDATA)>
  <!-- agreed upon table of location function / description -->
  <!ELEMENT LocationFunction (#PCDATA)>

<!ELEMENT Name (Person | Entity | Thing)>
  <!-- Used for alias matching, and party/attorney matching -->
  <!ATTLIST Name ID ID #REQUIRED>
  <!-- Agreed upon table of codes -->
  <!ATTLIST Name Type CDATA #IMPLIED>

<!--
  NameAlias used to identify multiple names used by a person, entity,
  or Thing
-->
<!ELEMENT NameAlias (Person | Entity | Thing)>
  <!-- MatchWith is reference to Name of person, entity, or thing -->
  <!ATTLIST NameAlias MatchWith IDREF #REQUIRED>
  <!-- Agreed upon table of codes -->
  <!ATTLIST NameAlias Type CDATA #REQUIRED>

<!--
  Number
-->
<!ELEMENT Number (#PCDATA)>
  <!-- Qualifier - Type of number. e.g. NCIC, social security, etc. -->
  <!ATTLIST Number Qualifier CDATA #REQUIRED>
  <!-- Format - describes the format of the number -->
  <!ATTLIST Number Format CDATA #IMPLIED>

<!--
  PaymentInformation send by filer
  Court by policy may refuse to accept payment, or may by policy refuse to
  accept filings without PaymentInformation
-->
<!ELEMENT PaymentInformation (Credit | Debit | Account)>
  <!ELEMENT Credit (Number, Expiration, Owner?)>
  <!ELEMENT Debit (Number, Expiration, Owner?)>
  <!ELEMENT Account (Number, Owner?)>
    <!ELEMENT Owner (Name, Address)>
    <!ELEMENT Expiration (Date)>

<!--
  PersonDescription provides information used to describe a person
-->
<!--
  It is the intent of the standard organization to normalize these coded
  tables and assign standard names to these elements
-->
<!ELEMENT PersonDescription (Gender?, Height?, Weight?, EyeColor?, Hair?,
ScarsMarksTattoos?, ScarsMarksTattoosText?, DateOfBirth, PlaceOfBirth?,
Ethnicity?, Citizenship?, MaritalStatus?, Religion?, PersonIdentifier*)>
  <!--
    Agreed upon table of codes for gender:
    Male, Female, Other, Unknown
  -->
  <!ELEMENT Gender EMPTY>
  <!ATTLIST Gender Value (Male | Female | Other | Unknown) #REQUIRED>
  <!--
```

Electronic Court Filing Draft Specification

```
Enumerated attribute MeasurementUnit specifies content
Default if not present is Inches
-->
<!ELEMENT Height (#PCDATA)>
<!ATTLIST Height MeasurementUnit (Centimeters | Meters | Inches | Feet) "Inches">
<!--
Enumerated attribute MeasurementUnit specifies content
Default if not present is Pounds
-->
<!ELEMENT Weight (#PCDATA)>
<!ATTLIST Weight MeasurementUnit (Pounds | Kilograms) "Pounds">
<!--
Agreed upon table of codes for eye color
Black, Blue, Brown, Gray, Green, Hazel, Multicolored, Pink,
Other, Unknown
-->
<!ELEMENT EyeColor EMPTY>
<!ATTLIST EyeColor Value (Black | Blue | Brown | Gray | Green | Hazel
| Multicolored | Pink |Other | Unknown) #REQUIRED>
<!--
Agreed upon table of codes for hair color:
Black, Blond, Blue, Brown, Gray, Green, Orange, Pink, Purple, Red,
Sandy, White, Bald, Other, Unknown
-->
<!ELEMENT Hair EMPTY>
<!ATTLIST Hair Value (Black | Blond | Blue | Brown | Gray | Green | Orange | Pink
| Purple | Red | Sandy | White | Bald | Other | Unknown) #REQUIRED>
<!-- agreed upon table of scars, marks, and tattoos - location, type -->
<!ELEMENT ScarsMarksTattoos (#PCDATA)>
<!-- text associated with scars, marks, and tattoos -->
<!ELEMENT ScarsMarksTattoosText (#PCDATA)>
<!ELEMENT DateOfBirth (Date)>
<!ELEMENT PlaceOfBirth (Location)>
<!--
Codes that define ethnicity
-->
<!ELEMENT Ethnicity (#PCDATA)>
<!--
Codes that define citizenship:
ISO 3166 Country Codes (A3) are required.
These are the 3 character codes, e.g. usa
-->
<!ELEMENT Citizenship (#PCDATA)>
<!--
Agreed upon table of marital status:
Now Married, Widowed, Divorced, Separated, Never Married,
Unmarried Partner, Unknown
-->
<!ELEMENT MaritalStatus EMPTY>
<!ATTLIST MaritalStatus Value (NowMarried | Widowed | Divorced | Separated |
NeverMarried | UnmarriedPartner | Unknown) #REQUIRED>
<!-- agreed upon table of religious preference -->
<!ELEMENT Religion (#PCDATA)>

<!--
PersonIdentifier - Social security, drivers license, NCIC, etc.
-->
<!ELEMENT PersonIdentifier (Number+)>

<!--
Person identifies a natural person (i.e. a human being)
-->
<!ELEMENT Person (FullName, Salutation?, FirstName?, MiddleName?, LastName,
Suffix?, Designation?, NameAlias*)>
<!-- formal name prefix such as Mr., Honorable, or Ms. -->
<!ELEMENT Salutation (#PCDATA)>
<!ELEMENT FirstName (#PCDATA)>
<!-- middle name, initials or multiple initials -->
<!ELEMENT MiddleName (#PCDATA)>
<!ELEMENT LastName (#PCDATA)>
```

Electronic Court Filing Draft Specification

```
<!-- trailing suffix name such as Jr, PhD, or III -->
<!ELEMENT Suffix (#PCDATA)>
<!--
    Designation identifies persons of same names in different
    generations, or different persons with the same name in an Actor
    list
-->
<!ELEMENT Designation (#PCDATA)>

<!-- Signature - Place holder -->
<!ELEMENT Signature ANY>

<!--
    Telephone
-->
<!ELEMENT Telephone (Number)>
<!--
    type of telephone number e.g. home, business, fax, pager,
    alternate, relative
-->
<!ATTLIST Telephone Type CDATA #REQUIRED>
<!-- status of the telephone number e.g. active or inactive -->
<!ATTLIST Telephone Status CDATA #IMPLIED>
<!-- date that the status was assigned -->
<!ATTLIST Telephone StatusDate CDATA #IMPLIED>

<!--
    Time in ISO 8601 format hh:mm[:ss]Z
-->
<!ELEMENT Time (#PCDATA)>

<!--
    Thing
-->
<!ELEMENT Thing (#PCDATA)>

<!--
    URI
-->
<!ELEMENT URI (#PCDATA)>
```

2.1 Transmission Encapsulation

Each Filing, Query, Receipt, or Response is encapsulated in a standard "shell" called a LegalEnvelope. This shell includes such information as the sender, the recipient, the time and date the message was created, and the MessageIdentification.

The receiving application may discard all the parent and any sibling elements of the <Legal> element, with the exception of the <Legal> element and its siblings. i.e. The transmission encapsulation may be discarded by the receiver.

2.1.1 Elements Particular to LegalEnvelope

LegalEnvelope is the root ELEMENT of CourtFiling XML for the purpose of transmission. This element has an Attribute specifying the version number as 1.0. If this attribute is present, it must be 1.0. If absent, is assumed to be 1.0 (for the version described in this document.)

```
<!ELEMENT LegalEnvelope (MessageIdentification, From, ReplyTo?, To, CC?, BCC?,
Memo*, Creation, DataIntegrity?, PaymentInformation?, Authentication?, Legal)>
<!ATTLIST LegalEnvelope Version CDATA #FIXED "1.0">
```

MessageIdentification is a string used by the sending application to identify the message.

MessageIdentification shall have the same value in a <Confirmation> or <Response> message as in the corresponding <Filing> or <Query> message.

```
<!ELEMENT MessageIdentification (#PCDATA)>
```

Electronic Court Filing Draft Specification

From identifies the sender, and may provide the information needed to send a confirmation or response.

```
<!ELEMENT From (Addressee)>
```

ReplyTo supplies the information of where to send the Confirmation or Response. If not present, the <From> element shall be used to send the confirmation or response.

```
<!ELEMENT ReplyTo (Addressee)>
```

Courts may specify that To does not satisfy the requirement for certificate of service.

To identifies the recipient of this transmission.

```
<!ELEMENT To (Addressee+)>
```

CC identifies others receiving this transmission. This is a courtesy copy only and no official action is required or expected. The Addressee will appear on the distribution list.

```
<!ELEMENT CC (Addressee+)>
```

BCC identifies others receiving this transmission. This is a blind courtesy copy only and no official action is required or expected. The Addressee will not appear on the distribution list.

```
<!ELEMENT BCC (Addressee+)>
```

The Addressee element supplies information necessary to identify the sender and receivers; their delivery addresses; and the corresponding delivery methods.

```
<!ELEMENT Addressee (Name?, (Address | Email | Fax | URI))>
```

Creation identifies the date and time this envelope was created.

```
<!ELEMENT Creation (Date,Time)>
```

DataIntegrity is a place holder for the method used to validate the integrity of message content.

```
<!ELEMENT DataIntegrity ANY>
```

Legal is a generic tag preceding all legal related XML. In other legal DTD's Legal will have a different content model.

```
<!ELEMENT Legal (CourtFiling)>
```

2.2 CourtFiling

CourtFiling allows multiple filings. Each filing consists of a single lead document for one case in one court, with any number of attachments. CourtFiling allows multiple confirmations. Each confirmation represents the response to one filing.

In version 1.0, CourtInformation and CaseInformation shall be the same in each filing included within a single LegalEnvelope.

Court policy may limit a CourtFiling to one Filing element per LegalEnvelope.

```
<!ELEMENT CourtFiling (Filing+ | Confirmation+ | Query | Response)>
```

2.2.1 Filing

The sender assigns ID attribute values within a filing. The receiving application shall return all applicable ID's with the confirmation message sent as a result of the filing.

Filing specifies one filing for one case in one court with multiple documents. The attribute Privacy may be used as a request to the court, or as a court assignment.

```
<!ELEMENT Filing (Actors, FilingInformation, LeadDocument)>
```

```
<!ATTLIST Filing Privacy CDATA #IMPLIED>
```


Electronic Court Filing Draft Specification

FilingInformation contains all information not necessarily in document. The ID attribute shall be returned in the confirmation message sent as a result of this transmission. The Privacy attribute has the same meaning as in Filing.

```
<!ELEMENT FilingInformation (SpecialHandling?, PaymentInformation*,
Authentication*, CourtInformation, CaseInformation, Actors?, Memo?)>
<!ATTLIST FilingInformation ID ID #REQUIRED>
<!ATTLIST FilingInformation Privacy CDATA #IMPLIED>
```

A sender may use SpecialHandling to request user intervention by the receiving court.

```
<!ELEMENT SpecialHandling (#PCDATA)>
```

LeadDocument is the single document comprising the lead document (e.g. Motion, Order, and etc.) of a single filing. Each LeadDocument may have multiple attachments. The ID attribute shall be returned in any confirmation message sent as a result of this transmission.

```
<!ELEMENT LeadDocument (DocumentInformation, DocumentContent, Attachment*,
Authentication*)>
<!ATTLIST LeadDocument ID ID #REQUIRED>
```

DocumentInformation contains the same information that is normally included in the document.

Information appearing in both FilingInformation and DocumentInformation shall be by reference only. The preferred location for content to reside is FilingInformation. A reference pointing from DocumentInformation to an ID in FilingInformation shall be the preferred markup and offers the largest opportunity for reuse. A reference from FilingInformation to an ID in DocumentInformation is also allowed but not recommended. A deprecated use, but not an error, occurs if content is included both places.

That is to say, this implements the where practical model.

```
<!ELEMENT DocumentInformation (Actors, DateTimeSubmitted, DocumentDescription,
(AdministrativeLaw | Appeals | Bankruptcy | Civil | Criminal | DomesticRelations |
Juvenile | Probate | SmallClaims | Traffic)?, Matter*, CauseOfAction*)>
```

DateTimeSubmitted supplies the date and time the author created this document.

Note that this Date and Time are not necessarily the same as those specified in the Creation element.

```
<!ELEMENT DateTimeSubmitted (Date,Time)>
```

DocumentDescription provides the title of the document assigned by the attorney, and the court specified type of document.

```
<!ELEMENT DocumentDescription (DocumentTitle, DocumentType*)>
```

Document title is the name given to the document by the attorney

```
<!ELEMENT DocumentTitle (#PCDATA)>
```

DocumentType is the court specified name assigned by the court specified in CourtInformation. Those courts that don't want to do a reverse look-up on the textual DocumentType to retrieve an event code may require the DocumentCode attribute.

```
<!ELEMENT DocumentType (#PCDATA)>
<!ATTLIST DocumentType DocumentCode CDATA #IMPLIED>
```

All of the following elements, which deal with the specific requirements of a particular type of case, are place holders. It is expected that the various working groups will define the content model for each element.

In Common to CourtFiling (page 20) a number of elements have been defined that may be used inside of these case types. Where a court identifies a requirement for one of these elements, the elements defined in Common to CourtFiling shall be used. Where a court identifies a requirement not included in those elements, the court may define an element to support that requirement. It must be understood that the court

Electronic Court Filing Draft Specification

filing working group will provide a full set of elements intended to meet requirements not defined at this time.

```
<!ELEMENT AdministrativeLaw ANY>
<!ELEMENT Appeals ANY>
<!ELEMENT Bankruptcy ANY>
<!ELEMENT Civil ANY>
<!ELEMENT Criminal ANY>
<!ELEMENT DomesticRelations ANY>
<!ELEMENT Juvenile ANY>
<!ELEMENT Probate ANY>
<!ELEMENT SmallClaims ANY>
<!ELEMENT Traffic ANY>
```

DocumentContent can be either a hyperlink , or ObjectID, or text, or a base64 encoded blob.

Court policy may prohibit the use of hyperlinked documents.

The Size attribute may be used to indicate the size of the encapsulated BLOB. The MimeType attribute specifies how the contents of the decoded PCDATA are to be interpreted (application/pdf). All binary in version 1.0 of this standard shall be Base 64 encoded. The attribute ContentEncoding allows for future revisions. The href attribute specifies the location of a hyperlinked document.

```
<!ELEMENT DocumentContent (#PCDATA)>
<!ATTLIST DocumentContent ID ID #REQUIRED>
<!ATTLIST DocumentContent Size CDATA #IMPLIED>
<!ATTLIST DocumentContent MimeType CDATA #REQUIRED>
<!ATTLIST DocumentContent ContentEncoding (Base64) #IMPLIED>
<!ATTLIST DocumentContent href CDATA #IMPLIED>
```

An Attachment can have attachments. The ID shall be referenced in the confirmation of this filing.

```
<!ELEMENT Attachment (AttachmentDocumentInformation, DocumentContent,
Authentication*, Attachment*)>
<!ATTLIST Attachment ID ID #REQUIRED>
```

The only difference between an AttachmentDocumentInformation and a DocumentInformation is that Actor becomes zero or more instances. This allows Actors to span the entire set of documents included within a single LeadDocument.

```
<!ELEMENT AttachmentDocumentInformation (Actors?, DateTimeSubmitted,
DocumentDescription, (AdministrativeLaw | Appeals | Bankruptcy | Civil | Criminal
| DomesticRelations | Juvenile | Probate | SmallClaims | Traffic)?, Matter*,
CauseOfAction*)>
```

2.2.2 Confirmation

Confirmation shall be used to return the confirmation of a Filing to the sender.

```
<!ELEMENT Confirmation (Actors?, TimeStamp, ConfirmationInformation)>
```

ConfirmationInformation corresponds to FilingInformation in the received Filing. The attribute RefersTo shall be identical to the FilingInformation ID. The attribute FilingDisposition enumerated values are defined as follows:

TransmissionError: </LegalEnvelope> was not received. The transmission was incomplete or the network transport layer reported an error in transmission.

Acknowledged: Transmission was received with no errors in transmission. No action relating to the message has been taken.

Electronic Court Filing Draft Specification

```
<!ELEMENT ConfirmationInformation (Fee*, CourtInformation?, CaseInformation?,
Actors?, LeadDocumentDisposition+)>
<!ATTLIST ConfirmationInformation RefersTo CDATA #REQUIRED>
<!ATTLIST ConfirmationInformation FilingDisposition (TransmissionError
| Acknowledged) #REQUIRED>
```

LeadDocumentDisposition corresponds to the LeadDocument submitted. The attribute RefersTo shall be identical to the LeadDocument ID.

The attribute FilingDisposition enumerated values are defined as follows:

TransmissionError: </LegalEnvelope> was not received. The transmission was incomplete or the network transport layer reported an error in transmission.

Acknowledged: Transmission was received with no errors in transmission. No action relating to the message has been taken.

Received: Filed. The transmission was received without error and a time stamp was generated for the filing. This corresponds to the manual system of the court clerk stamping the document at the court counter.

Accepted: Docketed. The transmission was received without error, a time stamp was generated, and the filing was recorded in the case docket. This corresponds to the manual system of the clerk placing a filed document into the case docket folder or envelope.

Partial: Part of filing was docketed. The LeadDocument was docketed but one or more of the attachments were not due to a conformance error.

Deferred: Transmission was received OK, errors were checked, the filing was validated against the DTD, but no further action was taken. The formal response will be included in a separate delayed transmission.

Rejected: The court refused to accept the filing.

```
<!ELEMENT LeadDocumentDisposition (TimeStamp, CourtReference, Memo?,
AttachmentDisposition*)>
<!ATTLIST LeadDocumentDisposition RefersTo CDATA #REQUIRED>
<!ATTLIST LeadDocumentDisposition FilingDisposition (TransmissionError |
Acknowledged | Received | Accepted | Partial | Deferred | Rejected) #REQUIRED>
```

CourtDocumentReference is the court specified document reference. The court may use the attribute href to return the location of the electronically filed document.

```
<!ELEMENT CourtReference (#PCDATA)>
<!ATTLIST CourtReference href CDATA #IMPLIED>
```

AttachmentDisposition corresponds to any attachments submitted with the Filing. The attribute RefersTo shall be identical to the Attachment ID.

The attribute Disposition enumerated values are defined as follows:

Received: Filed. The transmission was received without error and a time stamp was generated for the filing. This corresponds to the manual system of the court clerk stamping the document at the court counter.

Accepted: Docketed. The transmission was received without error, a time stamp was generated, and the filing was recorded in the case docket. This corresponds to the manual system of the clerk placing a filed document into the case docket folder or envelope.

Rejected: The court refused to accept the filing.

```
<!ELEMENT AttachmentDisposition (CourtReference)>
<!ATTLIST AttachmentDisposition RefersTo CDATA #REQUIRED>
<!ATTLIST AttachmentDisposition Disposition (Received|Accepted|Rejected)
#REQUIRED>
```

2.2.3 Query

Query is not defined in version 1.0.

Query is a place holder. Query shall be used to request court specific policy and allowable values of court supplied information.

```
<!ELEMENT Query ANY>
```

2.2.4 Response

Response is not defined in version 1.0.

Response is a place holder. Response shall be used to return information requested by a Query message.

```
<!ELEMENT Response ANY>
```

2.3 Common to CourtFiling

It is expected that the <Actors> element of <Filing> will contain the full definition all the actors contained within the filing. All actors within <FilingInformation>, <LeadDocument>, or <Attachment> will be by reference to one of the Actors contained within the <Actors> element of <Filing>.

```
<!ELEMENT Actors (Actor+)>
```

All the elements in Actor are optional to allow for EMPTY Actor elements that reference a complete Actor element appearing earlier in the document. The same actor may be mentioned many times within a filing. To eliminate redundancy, the content of the first Actor element for a particular actor shall have a fully defined content. This fully defined Actor shall occur in Filing. Subsequent references to this actor shall use an empty Actor element with a Reference attribute pointing to the ID of the fully defined Actor element. The attribute RefersTo shall be used when the element being referred to is not contained within this transmission. e.g. RefersTo is sent as part of a Confirmation, and refers to Actor ID as specified by the sender of the Filing. The attribute Privacy may be used as a request to the court, or as a court assignment.

PersonIdentifier | BarMembershipInformation within Actor are used for disambiguating persons with the same or similar names, and to uniquely identify an entity on a case initiation

```
<!ELEMENT Actor (Title?, Name?, Address*, Telephone*, Email*, Group*,
PersonDescription*, (PersonIdentifier | BarMembershipInformation)*, Role*,
Characteristic*)>
```

```
<!ATTLIST Actor ID ID #REQUIRED>
```

```
<!ATTLIST Actor Reference IDREF #IMPLIED>
```

```
<!ATTLIST Actor RefersTo CDATA #IMPLIED>
```

```
<!ATTLIST Actor Privacy CDATA #IMPLIED>
```

This actor's title.

```
<!ELEMENT Title (#PCDATA)>
```

The role played by this actor in this filing.

```
<!ELEMENT Role (RoleName, RoleWith*)>
```

The name of the role.

```
<!ELEMENT RoleName (#PCDATA)>
```

RoleWith is an empty element used to supply the references to other Actors and Matters. The attribute ActorID shall be used to match this Actor with another Actor within this transmission. e.g. The attorney/client role are defined in this way. The attribute MatterID shall be used to match this Actor with a Matter within this transmission.

```
<!ELEMENT RoleWith EMPTY>
```

```
<!ATTLIST RoleWith ActorID IDREF #IMPLIED>
```

```
<!ATTLIST RoleWith MatterID IDREF #IMPLIED>
```

Characteristic, and its siblings CharacteristicName and CharacteristicValue, provides a mechanism to define characteristics of this Actor not defined elsewhere in this document.

Electronic Court Filing Draft Specification

```
<!ELEMENT Characteristic (CharacteristicName,CharacteristicValue)>
<!ELEMENT CharacteristicName (#PCDATA)>
<!ELEMENT CharacteristicValue (#PCDATA)>
```

Authentication is shown as a place holder. It shall be used for authenticating the sender, or other element containing a digital signature.

```
<!ELEMENT Authentication ((UserIdentification, Password?) | Signature)>
```

UserIdentification is the user name or logon identifier being authenticated by the Password.

```
<!ELEMENT UserIdentification (#PCDATA)>
```

Password is the secret word known to the user identified by UserIdentification.

```
<!ELEMENT Password (#PCDATA)>
```

CaseInformation includes all the information about the case this Filing applies to.

FullCaseNumber, and CaseTitle are optional to allow case initiation to proceed without prior assignment of a case number. The attribute ID may be referred to by LineageCaseNumber or FilersCaseNumber. The attribute NewCase defaults to false.

Court policy may limit NewCase to false.

```
<!ELEMENT CaseInformation (FullCaseNumber?, CaseTitle?, CaseCategory?, CaseYear?,
LineageCaseNumber*, FilersCaseNumber?)>
<!ATTLIST CaseInformation ID ID #IMPLIED>
<!ATTLIST CaseInformation NewCase (true|false) "false">
```

FullCaseNumber includes all qualifiers necessary to completely specify the case within its venue e.g. court type, court location, category, year, number, and etc

```
<!ELEMENT FullCaseNumber (#PCDATA)>
```

The court generated title of the case.

```
<!ELEMENT CaseTitle (#PCDATA)>
```

The court generated case category. e.g. Civil, Criminal, and etc.

```
<!ELEMENT CaseCategory (#PCDATA)>
```

The year the case was created.

```
<!ELEMENT CaseYear (#PCDATA)>
```

LineageCaseNumber is a previous case number. It may be used to supply the case number of a case being appealed. The ID attribute may be used to identify this case elsewhere in the Filing. The attribute ReferenceCase shall refer to the encapsulating CaseInformation ID.

```
<!ELEMENT LineageCaseNumber (FullCaseNumber?, CaseTitle?, CaseCategory?,
CaseYear?, LineageCaseNumber*)>
<!ATTLIST LineageCaseNumber ID ID #IMPLIED>
<!ATTLIST LineageCaseNumber ReferenceCase IDREF #REQUIRED>
```

FilersCaseNumber is a string used by the originator of the filing to identify the case in the originators application. The attribute ReferenceCase shall refer to the encapsulating CaseInformation ID.

If present in a Filing, FilersCaseNumber shall be returned in the associated Confirmation.

It is most useful in case initiation because the court generated case number is returned on a case open event.

```
<!ELEMENT FilersCaseNumber (#PCDATA)>
<!ATTLIST FilersCaseNumber ReferenceCase IDREF #IMPLIED>
```

CauseOfAction is a place holder. The ID attribute may be used as a referent.

```
<!ELEMENT CauseOfAction (#PCDATA)>
```

Electronic Court Filing Draft Specification

```
<!ATTLIST CauseOfAction ID IDREF #REQUIRED>
```

CourtInformation, and its siblings CourtType and CourtName, provides the courts identifying information.

```
<!ELEMENT CourtInformation (Location | (CourtType, CourtName) | (Location, CourtType, CourtName))>
```

CourtType is specified by the court.

```
<!ELEMENT CourtType (#PCDATA)>
```

CourtName is a sender assigned value.

```
<!ELEMENT CourtName (#PCDATA)>
```

Matter is a place holder. The ID attribute may be used as a referent.

```
<!ELEMENT Matter ANY>
<!ATTLIST Matter ID ID #IMPLIED>
```

Memo provides human readable text, ignored by applications

```
<!ELEMENT Memo (#PCDATA)>
```

TimeStamp contains the date and time a Filing was received by a court.

```
<!ELEMENT TimeStamp (Date,Time)>
```

2.4 Horizontal to Legal

Address is a postal location to which paper mail can be directed. The attribute Type identifies the type of address, e.g. Home, Business, School, and etc. The attribute Status indicates the address status, e.g. Current, Last, Previous, and etc. The attribute StatusDate indicates the last date the address was (is) valid, it shall be in standard Date format (ISO 8601).

```
<!ELEMENT Address (AddressLine+, AddressCity, AddressCounty?, AddressState, AddressPostalCode, AddressCountry?)>
<!ATTLIST Address Type CDATA #REQUIRED>
<!ATTLIST Address Status CDATA #IMPLIED>
<!ATTLIST Address StatusDate CDATA #IMPLIED>
```

Address line provides text address lines, also text for locations that don't have an address system.

```
<!ELEMENT AddressLine (#PCDATA)>
```

AddressCity identifies the address city.

```
<!ELEMENT AddressCity (#PCDATA)>
```

AddressCounty identifies the address county.

```
<!ELEMENT AddressCounty (#PCDATA)>
```

AddressState identifies the address state or province.

```
<!ELEMENT AddressState (#PCDATA)>
```

AddressPostalCode provides the zip or postal code.

```
<!ELEMENT AddressPostalCode (#PCDATA)>
```

Address Country provide the address country.

ISO 3166 Country Codes (A3) are required. These are the 3 character codes, e.g. usa

```
<!ELEMENT AddressCountry (#PCDATA)>
```

Bar membership information, and its siblings BarNumber, LicenseAuthority, YearAdmitted, and BarStatus, identify members of the Bar in a particular state or province.

```
<!ELEMENT BarMembershipInformation (BarNumber, LicenseAuthority, YearAdmitted?, BarStatus?)>
```

Electronic Court Filing Draft Specification

Licensing state, or other authority.

```
<!ELEMENT LicenseAuthority (#PCDATA)>
<!ELEMENT BarNumber (#PCDATA)>
<!ELEMENT YearAdmitted (#PCDATA)>
<!ELEMENT BarStatus (#PCDATA)>
```

Date in ISO 8601 format YYYY[[MM]DD].

```
<!ELEMENT Date (#PCDATA)>
```

Electronic mail address. The attribute Type identifies the type of address, e.g. Home, Business, School, etc. The attribute Status indicates the address status, e.g. Current, Last, Previous, etc. The attribute StatusDate indicates the last date the address was (is) valid, it shall be in standard Date format (ISO 8601).

```
<!ELEMENT Email (#PCDATA)>
<!ATTLIST Email Type CDATA #REQUIRED>
<!ATTLIST Email Status CDATA #IMPLIED>
<!ATTLIST Email StatusDate CDATA #IMPLIED>
```

Entity, and its siblings EntityAbbreviatedName and EntityAcronym, identify legal persons. Attribute Type identifies the type of entity, e.g. Corporation, and etc.

```
<!ELEMENT Entity (FullName, EntityAbbreviatedName?, EntityAcronym?, NameAlias*)>
<!ATTLIST Entity Type CDATA #REQUIRED>
<!ELEMENT EntityAbbreviatedName (#PCDATA)>
<!ELEMENT EntityAcronym (#PCDATA)>
```

FAX address. The attribute Type identifies the type of address, e.g. Home, Business, School, etc. The attribute Status indicates the address status, e.g. Current, Last, Previous, etc. The attribute StatusDate indicates the last date the address was (is) valid, it shall be in standard Date format (ISO 8601).

```
<!ELEMENT Fax (#PCDATA)>
<!ATTLIST Fax Type CDATA #REQUIRED>
<!ATTLIST Fax Status CDATA #IMPLIED>
<!ATTLIST Fax StatusDate CDATA #IMPLIED>
```

Fee is a court imposed payment, as opposed to PaymentInformation supplied by the filer of the Filing. Attribute Type specifies the type of fee being assessed.

```
<!ELEMENT Fee (#PCDATA)>
<!ATTLIST Fee Type CDATA #REQUIRED>
```

FullName used in Entity and Person to hold full name

```
<!ELEMENT FullName (#PCDATA)>
```

Group, and its siblings GroupName, GroupRelationship, and GroupLocation, specify membership in an collection of Actors. e.g. members of a Judge's staff. The ID attribute is used as a referent. The attribute Qualifier defines the group. Courts may define acceptable values for the attribute Qualifier. Attribute Status defines the status of the group, e.g. Active, Inactive, etc. Attributes StatusDate is in standard Date format (ISO 8601), it and StatusDateQualifier specify the date the group status applies.

```
<!ELEMENT Group (GroupName, GroupRelationship?, GroupLocation?)>
<!ATTLIST Group ID ID #REQUIRED>
<!ATTLIST Group Qualifier CDATA #REQUIRED>
<!ATTLIST Group Status CDATA #REQUIRED>
<!ATTLIST Group StatusDate CDATA #REQUIRED>
<!ATTLIST Group StatusDateQualifier CDATA #IMPLIED>
```

Electronic Court Filing Draft Specification

Name of group.

```
<!ELEMENT GroupName (#PCDATA)>
```

Relationship between this and other groups.

```
<!ELEMENT GroupRelationship (#PCDATA)>
```

Group location.

```
<!ELEMENT GroupLocation (#PCDATA)>
```

Location is used to identify locations that are not associated with natural and legal persons. The ID attribute may be used as a referent. The attribute Qualifier is coded field that defines location / facilities. Courts may define acceptable values for the attribute Qualifier.

```
<!ELEMENT Location (LocationText?, Address?, RelatedLocation?, LocationFunction?)>
<!ATTLIST Location ID ID #REQUIRED>
<!ATTLIST Location Qualifier CDATA #IMPLIED>
```

Text associated with location.

```
<!ELEMENT LocationText (#PCDATA)>
```

Agreed upon table of related locations/facilities. The court may specify acceptable values.

```
<!ELEMENT RelatedLocation (#PCDATA)>
```

Agreed upon table of location function / description. The court may specify acceptable values.

```
<!ELEMENT LocationFunction (#PCDATA)>
```

Name identifies the names of people, entities, and things. The ID attribute is a referent, and shall be used for alias matching. The attribute Type identifies the type of name, e.g. dba, etc. The court may specify acceptable values for Type.

```
<!ELEMENT Name (Person | Entity | Thing)>
<!ATTLIST Name ID ID #REQUIRED>
<!ATTLIST Name Type CDATA #IMPLIED>
```

NameAlias used to identify multiple names used by a person, entity, or Thing. The attribute MatchWith is a reference to Name ID. The attribute Type identifies the type of name, e.g. aka, etc.

```
<!ELEMENT NameAlias (Person | Entity | Thing)>
<!ATTLIST NameAlias MatchWith IDREF #REQUIRED>
<!ATTLIST NameAlias Type CDATA #REQUIRED>
```

Number. The attribute Qualifier identifies the type of number, e.g. NCIC, social security, etc. The attribute Format may be used to define the format of the number.

Format uses the character # to indicate the position of a numeric digit. White space indicates places where optional white space may occur. All other printing characters must be as shown in Format. e.g. a telephone number format could be shown as: (###) ###-####.

```
<!ELEMENT Number (#PCDATA)>
<!ATTLIST Number Qualifier CDATA #REQUIRED>
<!ATTLIST Number Format CDATA #IMPLIED>
```

PaymentInformation, and its siblings Credit, Debit, Account, are sent by the filer and identify how the filer intends to pay any court imposed fees.

A court may refuse to accept PaymentInformation.

```
<!ELEMENT PaymentInformation (Credit | Debit | Account)>
```

Credit card information.

```
<!ELEMENT Credit (Number, Expiration, Owner?)>
```


Electronic Court Filing Draft Specification

Debit card information.

```
<!ELEMENT Debit (Number, Expiration, Owner?)>
```

A prepaid or billable account established at the receiving court.

```
<!ELEMENT Account (Number, Owner?)>
```

The owner of the credit, debit, or account and their billing address.

```
<!ELEMENT Owner (Name, Address)>
```

The expiration date, usually in the year and month form of ISO 8601.

```
<!ELEMENT Expiration (Date)>
```

PersonDescription provides information used to describe a person

It is the intent of the working group to normalize coded tables and assign standard values to elements where appropriate. Where the normalization has occurred the element has EMPTY content and a required enumerated list attribute Value.

```
<!ELEMENT PersonDescription (Gender?, Height?, Weight?, EyeColor?, Hair?, ScarsMarksTattoos?, ScarsMarksTattoosText?, DateOfBirth, PlaceOfBirth?, Ethnicity?, Citizenship?, MaritalStatus?, Religion?, PersonIdentifier*)>
```

Gender.

```
<!ELEMENT Gender EMPTY>
```

```
<!ATTLIST Gender Value (Male | Female | Other | Unknown) #REQUIRED>
```

Height in attribute MeasurementUnit units. If MeasurementUnit is not present, the default is Inches.

```
<!ELEMENT Height (#PCDATA)>
```

```
<!ATTLIST Height MeasurementUnit (Centimeters | Meters | Inches | Feet) "Inches">
```

Weight in attribute MeasurementUnit units. If MeasurementUnit is not present, the default is Pounds.

```
<!ELEMENT Weight (#PCDATA)>
```

```
<!ATTLIST Weight MeasurementUnit (Pounds | Kilograms) "Pounds">
```

Eye color

```
<!ELEMENT EyeColor EMPTY>
```

```
<!ATTLIST EyeColor Value (Black | Blue | Brown | Gray | Green | Hazel | Multicolored | Pink | Other | Unknown) #REQUIRED>
```

Hair color or lack thereof.

```
<!ELEMENT Hair EMPTY>
```

```
<!ATTLIST Hair Value (Black | Blond | Blue | Brown | Gray | Green | Orange | Pink | Purple | Red | Sandy | White | Bald | Other | Unknown) #REQUIRED>
```

Agreed upon table of scars, marks, and tattoos - location, type.

```
<!ELEMENT ScarsMarksTattoos (#PCDATA)>
```

Text associated with scars, marks, and tattoos.

```
<!ELEMENT ScarsMarksTattoosText (#PCDATA)>
```

Date of birth.

```
<!ELEMENT DateOfBirth (Date)>
```

Place of birth.

```
<!ELEMENT PlaceOfBirth (Location)>
```

Codes that define ethnicity.

```
<!ELEMENT Ethnicity (#PCDATA)>
```

Electronic Court Filing Draft Specification

Codes that define citizenship.

ISO 3166 Country Codes (A3) are required. These are the 3 character codes, e.g. usa

```
<!ELEMENT Citizenship (#PCDATA)>
```

Marital status:

```
<!ELEMENT MaritalStatus EMPTY>
```

```
<!ATTLIST MaritalStatus Value (NowMarried | Widowed | Divorced | Separated |  
NeverMarried | UnmarriedPartner | Unknown) #REQUIRED>
```

Religious preference.

```
<!ELEMENT Religion (#PCDATA)>
```

PersonIdentifier - Social security, drivers license, NCIC, etc.

```
<!ELEMENT PersonIdentifier (Number+)>
```

Person identifies a natural person (i.e. a human being).

```
<!ELEMENT Person (FullName, Salutation?, FirstName?, MiddleName?, LastName,  
Suffix?, Designation?, NameAlias*)>
```

Formal name prefix such as Mr., Honorable, or Ms.

```
<!ELEMENT Salutation (#PCDATA)>
```

```
<!ELEMENT FirstName (#PCDATA)>
```

Middle name, initials or multiple initials.

```
<!ELEMENT MiddleName (#PCDATA)>
```

```
<!ELEMENT LastName (#PCDATA)>
```

Trailing suffix name such as Jr, PhD, or III.

```
<!ELEMENT Suffix (#PCDATA)>
```

Designation identifies persons of same names in different generations, or different persons with the same name in an Actor list. The sender assigns content. For a CourtFiling Confirmation message, Designation shall be the same as in the corresponding filing.

```
<!ELEMENT Designation (#PCDATA)>
```

Signature is a place holder.

```
<!ELEMENT Signature ANY>
```

Telephone number. The attribute Type identifies the type of telephone number, e.g. home, business, fax, pager, alternate, and etc. The attribute Status identifies the status, e.g. Current, Last, Previous, and etc. The attribute StatusDate identifies the effective date of the Status value.

```
<!ELEMENT Telephone (Number)>
```

```
<!ATTLIST Telephone Type CDATA #REQUIRED>
```

```
<!ATTLIST Telephone Status CDATA #IMPLIED>
```

```
<!ATTLIST Telephone StatusDate CDATA #IMPLIED>
```

Time in ISO 8601 format hh:mm[:ss]Z

```
<!ELEMENT Time (#PCDATA)>
```

Thing identifies property or other items related to a case.

```
<!ELEMENT Thing (#PCDATA)>
```

URI

```
<!ELEMENT URI (#PCDATA)>
```

3 Appendices

Information contained in appendices is not binding on conforming applications.

3.1 Elements for specific case types

The elements defined in this appendix have been proposed as useful for various case types. It was felt that due to time constraints, full and complete debate on these elements could not take place. Thus, these elements appear in this appendix. It is expected that these, or similar elements will be defined by the various sub-groups of the court filing workgroup in a subsequent release.

Charge is the identification of the criminal activity. The attribute Against connects this charge with an Actor. The Count attribute is an enumeration of the charge.

```
<!ELEMENT Charge (Statute+ , Booking?, Incident, CitationNumber?,
ChargeEnhancement*, ProgramEligibilities*, SpecialCircumstances*,
AlternateProceduralTreatment*, ArrestInformation?, Automobile?, BailInformation?)>
<!ATTLIST Charge Against IDREF #REQUIRED>
<!ATTLIST Charge Count CDATA #REQUIRED>
```

Statute and its siblings identify the law allegedly violated.

```
<!ELEMENT Statute (StatuteDescription, StatuteCode, StatutePenaltyClass,
StatutePenaltyType)>
<!ELEMENT StatuteDescription (#PCDATA)>
<!ELEMENT StatuteCode (#PCDATA)>
<!ELEMENT StatutePenaltyClass (#PCDATA)>
<!ELEMENT StatutePenaltyType (#PCDATA)>
```

Booking and its siblings identify the booking information.

```
<!ELEMENT Booking (BookingDate, BookingAgency, FingerprintNumber)>
<!ELEMENT BookingDate (Date, Time?)>
<!ELEMENT BookingAgency (Actor)>
<!ELEMENT FingerprintNumber (#PCDATA)>
```

Incident identifies where and when the alleged crime took place.

```
<!ELEMENT Incident (Location, Date, Time)>
```

CitationNumber is number pre-printed on a citation, or assigned by the court.

```
<!ELEMENT CitationNumber (#PCDATA)>
```

The next four elements contain extended information regarding the charge.

```
<!ELEMENT ChargeEnhancement (#PCDATA)>
<!ELEMENT ProgramEligibilities (#PCDATA)>
<!ELEMENT SpecialCircumstances (#PCDATA)>
<!ELEMENT AlternateProceduralTreatment (#PCDATA)>
```

ArrestInformation contains information pertaining to an arrest.

```
<!ELEMENT ArrestInformation (ArrestNumber, ArrestingAgency, ArrestingOfficer)>
<!ELEMENT ArrestNumber (Number)>
<!ELEMENT ArrestingAgency (Actor)>
<!ELEMENT ArrestingOfficer (Actor)>
```

Automobile identifies an automobile.

```
<!ELEMENT Automobile (AutoYear?, AutoVIN?, AutoMake?, AutoModel?,
AutoLicenseNumber?, AutoLicenseState?, AutoColor?)>
```

Electronic Court Filing Draft Specification

```
<!ELEMENT AutoYear (#PCDATA)>
<!ELEMENT AutoVIN (#PCDATA)>
<!ELEMENT AutoModel (#PCDATA)>
<!ELEMENT AutoMake (#PCDATA)>
<!ELEMENT AutoLicenseNumber (#PCDATA)>
<!ELEMENT AutoLicenseState (#PCDATA)>
<!ELEMENT AutoColor (#PCDATA)>
```

BailInformation is a place holder.

```
<!ELEMENT BailInformation (#PCDATA)>
```

3.2 LegalEnvelope XML Example

The first line shall be an XML declaration (see the XML 1.0 Specification at <http://www.w3.org/TR/REC-xml.html>), although it is optional in the XML 1.0 Specification. The second line is a document type declaration. This line states which DTD defines the syntax for the message.

The example does not include the content of the CourtFiling element.

```
<?xml version="1.0" standalone="yes"?>
<!DOCTYPE LegalEnvelope SYSTEM "LegalEnvelope.dtd">
<!-- Creation date and time: 16-Mar-00 17:36Z -->
<LegalEnvelope Version="1.0">
```

MessageIdentification is defined by sender, will be returned in Confirmation message.

```
<MessageIdentification>
  AStringOfCharactersUniquelyIdentifyingThisMessage
</MessageIdentification>
<From>
<Addressee>
  <Name ID="Ref01">
    <Person>
      <FullName>Margret Marly Jefferson</FullName>
      <FirstName>Margret</FirstName>
      <MiddleName>Marly</MiddleName>
      <LastName>Jefferson</LastName>
      <NameAlias MatchWith="Ref01" Type="aka">
        <Person>
          <FullName>Marty Halvorson</FullName>
          <FirstName>Marty</FirstName>
          <LastName>Halvorson</LastName>
        </Person>
      </NameAlias>
    </Person>
  </Name>
  <Address Type="Business">
    <AddressLine>New Mexico Supreme Court - JID</AddressLine>
    <AddressLine>207 Shelby Street</AddressLine>
```

Electronic Court Filing Draft Specification

```
<AddressCity>Santa Fe</AddressCity>
<AddressState>New Mexico</AddressState>
<AddressPostalCode>87501</AddressPostalCode>
</Address>
</Addressee>
</From>
<ReplyTo>
<Addressee>
    <Email>martyh@nmcourts.com</Email>
</Addressee>
</ReplyTo>
```

Name and address are not required for To.

```
<To>
<Addressee>
    <URI>http://efserver.nmcourts.com:8080</URI>
</Addressee>
</To>
<Memo>
    This is some human readable text added to the legal envelope for illustration
    purposes
</Memo>
<Creation>
```

Date and time this transmission was created.

```
<Date>20000126</Date>
<Time>20:49Z</Time>
</Creation>
<DataIntegrity/>
<PaymentInformation>
```

No owner is listed so the owner is the same as the sender.

```
<Credit>
    <Number Qualifier="Credit Card" Format="#### #### #### ####">
        1234 5678 9012 3456
    </Number>
    <Expiration><Date>20011101</Date></Expiration>
</Credit>
</PaymentInformation>
<Authentication>
    <UserIdentification>mgh</UserIdentification>
    <PassWord>Base-64 encoded form</PassWord>
</Authentication>
<Legal>
    <CourtFiling>
        ...
```

```

    </CourtFiling>
</Legal>
</LegalEnvelope>

```

3.3 CourtFiling Submission Example

The first example shows the simpler of the two, submission of a subsequent filing (i.e. case already exists). The second example shows case initiation. It is possible to have aspects of both, such as: an entry of appearance by an attorney adding a party to the case.

3.3.1 Subsequent Filing

The content of the envelope is not included in this example.

```

<?xml version="1.0" standalone="yes"?>
<!DOCTYPE LegalEnvelope SYSTEM "LegalEnvelope.dtd">
<!-- Creation date and time: 10-Mar-00 22:36Z -->
<LegalEnvelope Version="1.0">
    ...
<CourtFiling>
<Filing>
<Actors>
    <Actor ID="J01">
        <Title>Presiding Judge</Title>
        <Name ID="Ref01.n1">
            <Person>
                <FullName>Margret Marly Jefferson</FullName>
                <FirstName>Margret</FirstName>
                <MiddleName>Marly</MiddleName>
                <LastName>Jefferson</LastName>
            </Person>
        </Name>
        <Role>
            <RoleName>Presiding Judge</RoleName>
        </Role>
    </Actor>
</Actors>
<FilingInformation ID="Ref01.1">
    <SpecialHandling/>
    <CourtInformation>
        <Location ID="D1116"/>
    </CourtInformation>
    <CaseInformation>
        <FullCaseNumber>D1116-CR-99-218</FullCaseNumber>
        <CaseTitle>State v. Onereallybadman</CaseTitle>
        <CaseCategory>criminal</CaseCategory>

```

Electronic Court Filing Draft Specification

```
<CaseYear>1999</CaseYear>
</CaseInformation>
</FilingInformation>
<LeadDocument ID="Ref01.1.d1">
  <DocumentInformation>
```

An Actor is by reference to an Actor in the Filing Actors list.

```
<Actors>
  <Actor ID="Ref01.n1.1" Reference="Ref01.n1"/>
</Actors>
<DateTimeSubmitted>
  <Date>20000202</Date>
  <Time>18:36Z</Time>
</DateTimeSubmitted>
<DocumentDescription>
  <DocumentTitle>
    Order for Pre-Trial Hearing has been scheduled
  </DocumentTitle>
  <DocumentType DocumentCode="8251">
    ORD: PRE-TRIAL/SCHEDULED
  </DocumentType>
</DocumentDescription>
</DocumentInformation>
```

This document content shows a document residing on the web as the input .

```
<DocumentContent ID="Ref01.1.d1.dc" MimeType="application/pdf"
href="ftp://nowhere.com/JudgeJefferson/cr/99/218/Orders/PretrialHearing.pdf"/>
<Attachment ID="Ref01.1.d1.a1">
```

An attachment to the lead document.

```
<AttachmentDocumentInformation>
  <DateTimeSubmitted>
    <Date>20000202</Date>
    <Time>18:36Z</Time>
  </DateTimeSubmitted>
  <DocumentDescription>
    <DocumentTitle>Attached text</DocumentTitle>
    <DocumentType>Text</DocumentType>
  </DocumentDescription>
</AttachmentDocumentInformation>
```

This shows text as the document content.

```
<DocumentContent ID="Ref01.1.d1.a1.dc" MimeType="application/text">
The attached image file provides new information in this case.
</DocumentContent>
```

This is an attachment to an attachment.

```
<Attachment ID="Ref01.1.d1.a1.a1">
```

Electronic Court Filing Draft Specification

```
<AttachmentDocumentInformation>
  <DateTimeSubmitted>
    <Date>20000202</Date>
    <Time>18:36Z</Time>
  </DateTimeSubmitted>
  <DocumentDescription>
    <DocumentTitle>Attached image</DocumentTitle>
    <DocumentType>image</DocumentType>
  </DocumentDescription>
</AttachmentDocumentInformation>
```

This shows a BLOB as the document content.

```
  <DocumentContent ID="Ref01.1.d1.a1.a1.dc" Size="8191"
  MimeType="image/jpeg" ContentEncoding="Base64">jk075pfb3205hafnbci ...
  asfawrq2357c=rqttpbc</DocumentContent>
</Attachment>
</Attachment>
</LeadDocument>
</Filing>
</CourtFiling>
</Legal>
</LegalEnvelope>
```

3.3.2 Case Initiation Filing

```
<?xml version="1.0" standalone='yes'?>
<!DOCTYPE LegalEnvelope SYSTEM "LegalEnvelope.dtd">
<!-- Creation date and time: 16-Mar-00 15:36Z -->
<LegalEnvelope Version="1.0">
  ...
<CourtFiling>
<Filing>
  <Actors>
    <Actor ID="Ref01.a1">
      <Title>Attorney for the Plaintiff</Title>
      <Name ID="Ref01.a1.n1">
        <Person>
          <FullName>Margret Marly Jefferson</FullName>
          <FirstName>Margret</FirstName>
          <MiddleName>Marly</MiddleName>
          <LastName>Jefferson</LastName>
        </Person>
      </Name>
      <BarMembershipInformation>
        <BarNumber>8200291</BarNumber>
        <LicenseAuthority>New Mexico</LicenseAuthority>
```


Electronic Court Filing Draft Specification

```
<YearAdmitted>1982</YearAdmitted>
<BarStatus>Active</BarStatus>
</BarMembershipInformation>
<Role>
  <RoleName>Attorney for the Plaintiff</RoleName>
  <RoleWith ActorID="Ref01.a2"/>
</Role>
</Actor>
<Actor ID="Ref01.a2">
  <Name ID="Ref01.a2.n1">
    <Person>
      <FullName>William George</FullName>
      <FirstName>William</FirstName>
      <LastName>George</LastName>
    </Person>
  </Name>
  <Address Type="Office">
    <AddressLine>2107 Second Street</AddressLine>
    <AddressCity>Santa Fe</AddressCity>
    <AddressState>New Mexico</AddressState>
    <AddressPostalCode>87501</AddressPostalCode>
  </Address>
  <Telephone Type="Office">
    <Number Qualifier="Telephone" Format="(###) ###-####">
      (505) 476-6900
    </Number>
  </Telephone>
  <Email>willyG@nowhere.com</Email>
  <Role>
    <RoleName>Plaintiff</RoleName>
    <RoleWith ActorID="Ref01.a1"/>
  </Role>
</Actor>
<Actor ID="Ref01.a3">
  <Name ID="Ref01.a3.n1">
    <Entity Type="Business">
      <FullName>Fly-by-Night Carpets and Rugs</FullName>
      <EntityAcronym>FNCR</EntityAcronym>
    </Entity>
  </Name>
  <Address Type="Business">
    <AddressLine>901 Old Santa Fe Trail</AddressLine>
    <AddressCity>Santa Fe</AddressCity>
```

Electronic Court Filing Draft Specification

```
<AddressState>New Mexico</AddressState>
<AddressPostalCode>87501</AddressPostalCode>
</Address>
<Telephone Type="Business">
<Number Qualifier="Telephone" Format="(###) ###-####">
(505) 476-6905
</Number>
</Telephone>
<Email>FbNCarpets@nowhere.com</Email>
<Role>
<RoleName>Defendant</RoleName>
</Role>
</Actor>
</Actors>
<FilingInformation ID="Ref01.1">
<SpecialHandling/>
<PaymentInformation>
<Credit>
<Number Qualifier="Credit Card" Format="#### #### #### ####">
1234 5678 9012 3456
</Number>
<Expiration><Date>20011101</Date></Expiration>
</Credit>
</PaymentInformation>
<CourtInformation>
<Location ID="Ref01.c1" Qualifier="D1116"/>
</CourtInformation>
<CaseInformation ID="Ref01.case1" NewCase="true">
<CaseCategory>civil</CaseCategory>
<CaseYear>2000</CaseYear>
<FilersCaseNumber ReferenceCase="Ref01.case1">
JnBcv22114
</FilersCaseNumber>
</CaseInformation>
</FilingInformation>
<LeadDocument ID="Ref01.ld1">
<DocumentInformation>
<Actors>
<Actor ID="Ref01.ld1.p1" Reference="Ref01.a1"/>
<Actor ID="Ref01.ld1.p2" Reference="Ref01.a2"/>
<Actor ID="Ref01.ld1.p3" Reference="Ref01.a3"/>
</Actors>
<DateTimeSubmitted>
```

Electronic Court Filing Draft Specification

```
<Date>20000203</Date>
<Time>22:36Z</Time>
</DateTimeSubmitted>
<DocumentDescription>
  <DocumentTitle>Civil Complaint</DocumentTitle>
  <DocumentType DocumentCode="1251">
    OPN: CIVIL CMLNT
  </DocumentType>
</DocumentDescription>
</DocumentInformation>
<DocumentContent ID="Ref01.ld1.d1" Size="8191"
MimeType="application/pdf" ContentEncoding="Base64">jk075pfb3205hafnbci ...
asfawrq2357c=rqttpbc</DocumentContent>
```

Attachment to lead document.

```
<Attachment ID="Ref01.ld1.a1">
  <AttachmentDocumentInformation>
    <DateTimeSubmitted>
      <Date>20000203</Date>
      <Time>22:36Z</Time>
    </DateTimeSubmitted>
    <DocumentDescription>
      <DocumentTitle>
        Cover Sheet for Opening Civil Complaint
      </DocumentTitle>
      <DocumentType>COVER SHEET</DocumentType>
    </DocumentDescription>
  </AttachmentDocumentInformation>
  <DocumentContent ID="Ref01.ld1.a1.d1" Size="8191"
MimeType="application/pdf" ContentEncoding="Base64">jk075pfb3205hafnbci
...asfawrq2357c=rqttpbc
</DocumentContent>
</Attachment>
</LeadDocument>
</Filing>
</CourtFiling>
</Legal>
</LegalEnvelope>
```

3.4 Filing Acknowledgement Example

3.4.1 Subsequent Filing Confirmation

```
<?xml version="1.0" standalone="yes"?>
<!DOCTYPE LegalEnvelope SYSTEM "LegalEnvelope.dtd">
<!-- Creation date and time: 16-Mar-00 18:36Z -->
```

Electronic Court Filing Draft Specification

```
<LegalEnvelope Version="1.0">
```

```
...
```

```
<Legal>
```

```
<CourtFiling>
```

```
<Confirmation>
```

```
<Actors>
```

Actor ID has been assigned by the court. RefersTo is the Actor ID from the Filing.

```
<Actor ID="CR.99.218.73.a3" RefersTo="J01"/>
```

```
</Actors>
```

```
<TimeStamp>
```

```
<Date>20000311</Date>
```

```
<Time>22:48Z</Time>
```

```
</TimeStamp>
```

RefersTo is the Filing ID from the Filing.

```
<ConfirmationInformation RefersTo="Ref01.1">
```

```
<Fee Type="Total">35.00</Fee>
```

```
<CourtInformation>
```

```
<Location ID="D1116"/>
```

```
</CourtInformation>
```

```
<CaseInformation>
```

```
<FullCaseNumber>D1116-CR-99-218</FullCaseNumber>
```

```
<CaseTitle>State v. Onereallybadman</CaseTitle>
```

```
<CaseCategory>criminal</CaseCategory>
```

```
<CaseYear>1999</CaseYear>
```

```
</CaseInformation>
```

RefersTo is the LeadDocument ID from the Filing.

```
<LeadDocumentDisposition RefersTo="Ref01.1.d1"  
FilingDisposition="Accepted">
```

```
<TimeStamp>
```

```
<Date>20000311</Date>
```

```
<Time>22:48Z</Time>
```

```
</TimeStamp>
```

The href points to the location the court stored the document (for public viewing).

```
<CourtReference  
href="http://nowhere.com/D1116/cr/99/218/000073.pdf">
```

```
CR-99-218-73
```

```
</CourtReference>
```

RefersTo is an Attachment ID from the Filing.

```
<AttachmentDisposition RefersTo="Ref01.1.d1.a1"  
Disposition="Received">
```

The href points to the location the court stored the document (for public viewing).

```
<CourtReference  
href="http://nowhere.com/D1116/cr/99/218/000074.pdf">
```

```
CR-99-218-73 (a1)
```

Electronic Court Filing Draft Specification

```
</CourtReference>
```

```
</AttachmentDisposition>
```

RefersTo is an Attachment ID from the Filing.

```
<AttachmentDisposition RefersTo="Ref01.1.d1.a1.a1"  
Disposition="Accepted">
```

The href points to the location the court stored the document (for public viewing).

```
<CourtReference  
href="http://nowhere.com/D1116/cr/99/218/000075.pdf">  
CR-99-218-73 (a1) (a1)  
</CourtReference>  
</AttachmentDisposition>  
</LeadDocumentDisposition>  
</ConfirmationInformation>  
</Confirmation>  
</CourtFiling>  
</Legal>  
</LegalEnvelope>
```

3.4.2 Case Opening Filing Confirmation

```
<?xml version="1.0" standalone="yes"?>  
<!DOCTYPE LegalEnvelope SYSTEM "LegalEnvelope.dtd">  
<!-- Creation date and time: 10-Mar-00 22:36Z -->  
<LegalEnvelope Version="1.0">  
...  
<Legal>  
<CourtFiling>  
<Confirmation>  
<Actors>
```

ID is the court generated ID assigned to this person in this case. Case number Party 1 attorney.

RefersTo is the Actor ID from the Filing.

```
<Actor ID="D1116.cv.2000.87-P1.A" RefersTo="Ref01.a1"/>
```

ID is the court generated ID assigned to this person in this case. Case number Party 1

RefersTo is the Actor ID from the Filing.

```
<Actor ID="D1116.cv.2000.87-P1" RefersTo="Ref01.a2"/>
```

ID is the court generated ID assigned to this person in this case. Case number Party 2

RefersTo is the Actor ID from the Filing.

```
<Actor ID="D1116.cv.2000.87-P2" RefersTo="Ref01.a3"/>
```

This is a court generated person in the case so no RefersTo is supplied.

```
<Actor ID="D1116.cv.2000.87-PJ">  
<Title>Presiding Judge</Title>  
<Name ID="D1116.cv.2000.87-PJ.n1">  
<Person>
```

Electronic Court Filing Draft Specification

```
<FullName>Honorable Margret Jefferson</FullName>
<Salutation>Honorable</Salutation>
<FirstName>Margret</FirstName>
<LastName>Jefferson</LastName>
</Person>
</Name>
<Role>
  <RoleName>Presiding Judge</RoleName>
</Role>
</Actor>
</Actors>
<TimeStamp>
  <Date>20000310</Date>
  <Time>21:49Z</Time>
</TimeStamp>
```

RefersTo is the Filing ID from the Filing.

```
<ConfirmationInformation RefersTo="Ref01.1">
  <Fee Type="Case Open">135.00</Fee>
  <CourtInformation>
    <Location ID="C01.cl" Qualifier="D1116"/>
  </CourtInformation>
  <CaseInformation ID="D1116.cv.2000.87" NewCase="true">
    <FullCaseNumber>D1116-CV-2000-00087</FullCaseNumber>
    <CaseTitle>George v. Fly-by-Night Carpet and Rugs</CaseTitle>
    <CaseCategory>Civil</CaseCategory>
    <CaseYear>2000</CaseYear>
```

FilersCaseNumber is identical to the same element in the Filing.

```
<FilersCaseNumber>JnBcv22114</FilersCaseNumber>
</CaseInformation>
<Actors>
```

The Actor identity is by reference to the list of actors in Filing.

```
<Actor ID="D1116.cv.2000.87-PJ.r1"
Reference="D1116.cv.2000.87-PJ"/>
</Actors>
```

RefersTo is the LeadDocument ID from the Filing.

```
<LeadDocumentDisposition RefersTo="Ref01.ld1"
FilingDisposition="Accepted">
  <TimeStamp>
    <Date>20000310</Date>
    <Time>21:49Z</Time>
  </TimeStamp>
```

The href points to the location the court stored the document (for public viewing).

Electronic Court Filing Draft Specification

```
<CourtReference
href="http://nowhere.com/D1116/cv/2000/87/000001.pdf">
    CV-2000-87-01
</CourtReference>
```

RefersTo is the Attachment ID from the Filing.

```
<AttachmentDisposition RefersTo="Ref01.ld1.a1"
Disposition="Accepted">
```

The href points to the location the court stored the document (for public viewing).

```
<CourtReference
href="http://nowhere.com/D1116/cv/2000/87/000002.pdf">
    CV-2000-87-01 (a1)
</CourtReference>
</AttachmentDisposition>
</LeadDocumentDisposition>
</ConfirmationInformation>
</Confirmation>
</CourtFiling>
</Legal>
</LegalEnvelope>
```

3.5 Query and Response

Examples for the Query and Response data elements are not included, and these two elements are included in place holder form only. An example would be a request for a docket sheet.

3.6 User Descriptions

3.6.1 Attorneys

Attorneys

- File pleadings
- Receive notifications
- Review pleadings, orders, and notices of individual cases
- Open civil cases

District Attorneys

- Open criminal case

Pro Se

- Limited to specific cases

3.6.2 Judges and Staff

Judges

- Limited in jurisdiction
- File orders
- Receive notifications as presiding judge
- Annotate notifications for processing by secretary
- Review pleadings, orders, and notices of individual cases

Judicial Secretary

- Act for the judge

3.6.3 Clerk of Court

- Limited to single court jurisdiction
- File orders and notices within court
- Receive notifications
- Review pleadings, orders, and notices of individual cases

3.6.4 Court Clerks

- Limited to single court location
- File pleadings, orders, and notices for attorneys, judges, and clerk of court
- Review queued entries prior to docketing
- Review pleadings, orders, and notices of individual cases

3.6.5 Super Users

- Super Users
- Limited to associated court
- Maintain (add, delete, modify) user lists
- Maintain database

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