



File & Serve

Case Management System (CMS) Specification

Odyssey®

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Publishing History

Document Publication Number	Date	Changes Made
ODY-FS-230-3186 v.1	May 2013	Document Creation
ODY-FS-230-3186 v.2	Jan 2015	
ODY-FS-230-3186 v.3	Jan 2016	Noted that HTTPS must be TLS 1.1 or TLS 1.2
ODY-FS-230-3186 v.4	May 2016	Process #4: clarified that while the EFM passes all of an envelope's accepted filings in a single RecordFiling (ECF 5 RecordDocketing) call, the CMS calls the EFM once per filing for NotifyDocketingComplete. Updated to reflect support for service in general, not just electronic service. Updated to state that SFTP delivery of the zip file is to the user's home directory. Updated Figure 2 to account for configurations that allow for more than one attorney per case party.
ODY-FS-230-3186 v.5	Oct 2016	Recommendation to vendors to utilize NTP system clock synchronization. Update Envelope ERD to reflect that the system now supports filings with no documents. Added the SecureCase API to this document. (The actual API was added to the EFM and the CMS API Reference Guide in v3.11) Removed sections titled EFM Operation and CMS Operations as the information is already covered in the CMS API Reference Guide.
ODY-FS-230-3186 v.6	Feb 2017	Stated that the XML delivered via SFTP is the same as is delivered via web services RecordFiling (ECF 5 RecordDocketing) sans documents. Updated the API Business Process diagram and the description of step #5 to reflect that the EFM supports two callback models.

ODY-FS-230-3186 v.7	Sep 2017	Noted that the EFM supports two methods of transmitting documents to the CMS.
ODY-FS-230-3186 v.8	Feb 2022	Support for ECF 5 Requirement for TLS 1.2 Support for TLS 1.3 coming later in 2022
ODY-FS-230-3186 v.9	Sep 2022	Reference to additional specifications (re:Search CMS, User Authentication, Composable Security, In-App Notifications, and User Preferences) TLS 1.3 support, pending upgrade of underlying systems.

Technical Assistance

For assistance, contact Tyler Technologies through the following resource numbers:

Main (Reception) Telephone	972.713.3770
Main (Reception) Fax	972.713.3777
Courts & Justice Client Support Phone	800.966.6999 and 877.874.8499
Courts & Justice Client Support Fax	972.713.3780
Courts & Justice Client Support Website	tylertech.com/client-support/courts-and-justice-support
Courts & Justice Technical Publications	planodocfeedback@tylertech.com
	tylercommunity.tylertech.com

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About this Document

The Odyssey® File & Serve *Case Management System (CMS) Specification* provides vendors of court management systems with the information needed to integrate with the Odyssey File & Serve E-Filing Manager (EFM) and associated Odyssey File & Serve e-filing service provider (EFSP).

Odyssey File & Serve Documentation

The File & Serve e-filing documents available include:

- *Odyssey® File & Serve Solution Overview*
- *Case Management System (CMS) Specification*
- *Case Management System (CMS) API Reference Guide*
- *re:Search Case Management System (CMS) Specification*
- *E-Filing Service Provider (EFSP) Specification*
- *E-Filing Service Provider (EFSP) API Reference Guide*
- *User Authentication Specification*
- *Composable Security Model Specification*
- *In-App Notification Specification*
- *User Preferences Specification*

Documentation Conventions

This table contains descriptions of the text conventions used in the EFM technical documents.

Text Style	Description	Example
<u>Underline blue</u>	URLs, links to another section in same document or external document	www.tylertech.com
Bold	Menu, menu item, menu, tab, button, dialog box, element/field, heading, page, pane, panel, section, program names. Options in drop-down lists, system and application messages	Tools > Options > Forms Instances tab
Fixed-Width	Server names, filenames, pathnames, databases, API names, XML settings, scripts, command names, system calls, data structures and types	Run the <code>tables.sql</code> script for the <code>jcpBasketB</code> database
Fixed-Width bold/blue	Command line: Input, operators, code samples	<code>D:\ProgramFiles\neevia.com\docuPrinterSDK\.Net</code>

Text Style	Description	Example
Bold Fixed-Width	Input typed exactly as shown.	Set odysseycom as the domain user. Run the script DROP TABLE .
<i>Italics</i>	Placeholders in syntax Document titles and emphasis	Type the <i>filename</i> . <i>Deployment Troubleshooting Guide</i>
<i>Quotation marks</i>	Chapter titles	Refer to Chapter 3, "Server Settings."

E-Filing Terms

This table contains descriptions for the terms used in the EFM documentation.

Term	Description
Attachment	Series of bytes in the message stream, after messages, transmitted between MDEs that constitutes, in whole or in part, an electronic document whose conventional equivalent would be a document on paper.
Case Management System (CMS)	Electronic record of court information and documents.
Docketing	Process invoked/triggered when a court receives a plea, order, or notice (error-free transmission and presentation of required content) and records it as a part of the official record.
Document	Electronic equivalent of a hard-copy document.
ECF Architecture Specifications	Core specification: Defines the MDEs and operations and messages exchanged between the MDEs. Service Interaction Profiles: Specifications that describe the communication infrastructure that delivers messages between MDEs. Document Signature Profiles: Specifications that describe the mechanisms for signing electronic documents.
E-Filing Manager (EFM)	Central hub for e-filing operations: Receives e-filing submissions from EFSP, provides a review process for courts, and transmits e-filing data to the appropriate CMS.
E-Filing Service Provider (EFSP)	Any system that interacts with an EFM to perform e-filing operations.
Filer	Attorney or a pro se (self-represented) litigant acting as an individual who assembles and submits one or more filings (combinations of data and documents).
Filing	Electronic document (with associated data and attachments) assembled for filing into a specified court case.
Major Design Element (MDE)	Logical grouping of operations (Court Policy MDE, Filing Assembly MDE, Filing Review MDE, Court Record MDE, Service MDE, and Court Scheduling MDE) representing a significant business process supported by

Term	Description
	ECF. Each MDE operation receives one or more messages, returning a synchronous response message (a reaction to a message received) and optionally returning an asynchronous response message later to the originating message sender.
Message	Well-formed XML data structure transmitted between MDEs that can include one or more attachments.
Message transmission	Sending one or more messages and associated attachments to an MDE. Each transmission must invoke or respond to an operation on the receiving MDE, as defined in the ECF specification.
Method	Callable unit (subroutine) that performs a specific task.
Operation	Function, provided by an MDE upon receipt of one or more messages, represents a significant step in the court filing business process. Filer invokes by transmitting a request with an operation identifier and a set of messages.
Operation signature	Definition of the input message and synchronous response message associated with an operation. Operation gives message a name and type, where type is defined by one of the message structures defined in the ECF specification.
Web Service	Provides a set of functions, where a function is one specific task/operation.
Case Management System (CMS)	Electronic record of court information and documents.

The Odyssey® File & Serve Solution

Odyssey File & Serve, Tyler's e-filing solution, is a solution to achieve interoperability between the Tyler E-Filing Manager (EFM), E-Filing Service Provider (EFSP), and court Case Management Systems (CMSs). It is based on the [Electronic Court Filing Specification 5.0](#) (ECF) to standardize data, transport methods, and the process of electronic filing between systems.

ECF Interoperability Compliance

The Odyssey File & Serve e-filing provider and courts implement common filing behaviors and specifications for how data and messages are structured, transmitted, and received. Implementations of the File & Serve Solution specifications utilize XML to create and transmit legal documents to and from courts and between appropriate parties.

Three major elements of the ECF architecture set the requirements for vendor and court compliance. These elements are:

- Major Design Elements (MDEs): Six MDEs support the operations and messages involved in the e-filing process.
- Operations: Grouping of logical operations into a single MDE to execute a business operation such as creating a filing or receiving and recording a filing.
- Messages: Well-formed XML data structures transmitted between MDEs include one or more attachments.

New Functionality

The EFM operates within many jurisdictions, therefore the use of new functionality is often dependent upon jurisdictional requirements and any associated configuration. Jurisdictional requirements are not represented within this documentation.

Tyler strives to avoid "breaking changes" to the integration APIs (e.g. changing/moving existing schema elements). This includes using existing ECF elements wherever possible, and appropriate per ECF standards. However, the addition of schema is not considered a breaking change. Finally, if any breaking changes are necessary to accommodate e-Filing requirements, we work diligently to minimize the impact to our integration partners.

The entire EFM documentation set include additional details as necessary. As always, rely upon the EFSP Guide and CMS Guide to lead you to relevant artifacts for each API.

Electronic Filing API Business Process

The figure in this section illustrates the primary business process operations—case identification, filing assembly and submission, clerk review, post-review processing & docketing, and notification—of an electronic filing envelope. An envelope can contain one or more filings, but all filings in an envelope must pertain to one and only one court case.

Note: This figure does not cover all available APIs – refer to the CMS Guide for full coverage.

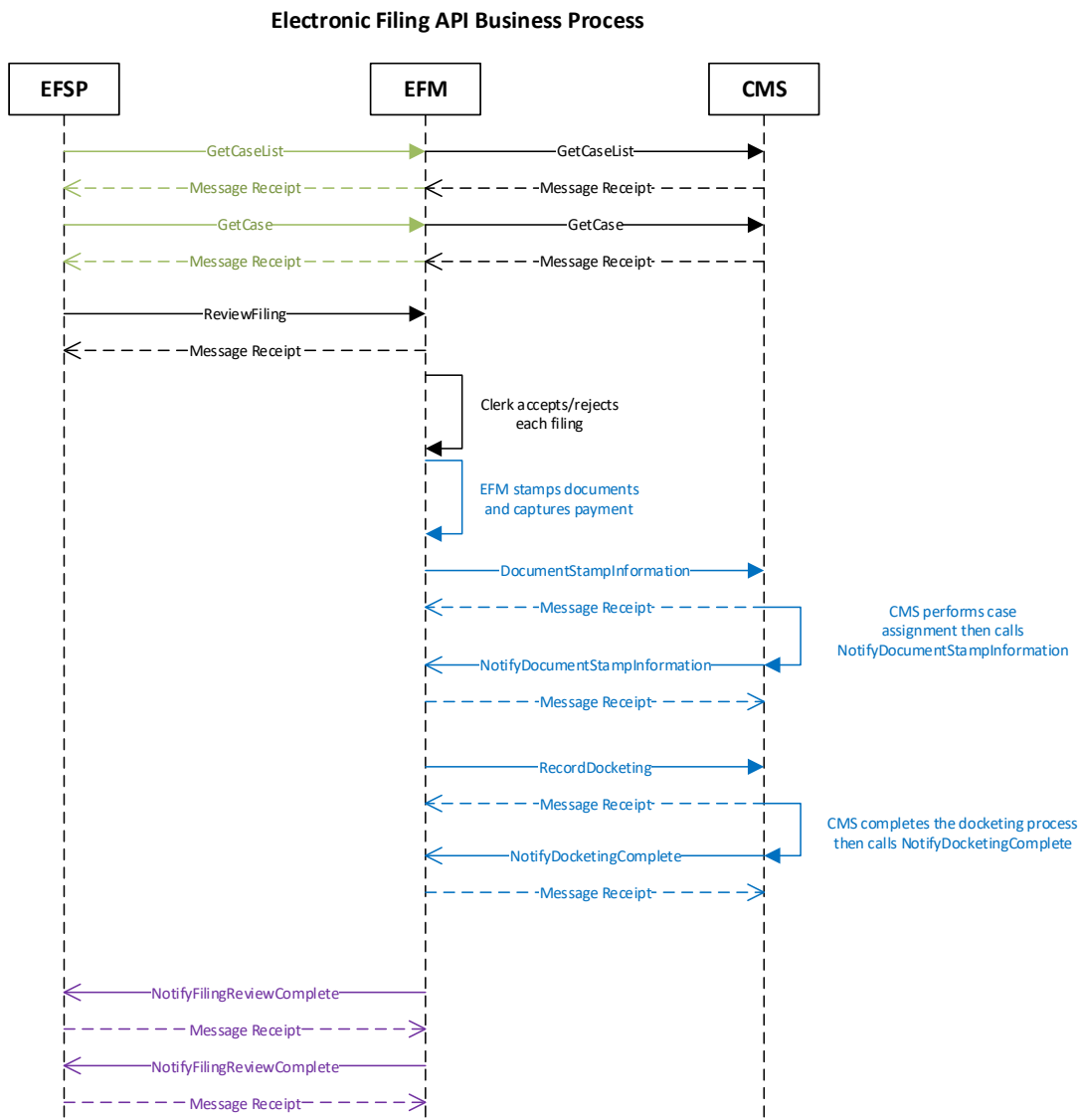


Figure 1 - Electronic Filing API Business Process

Additional details regarding each business process operation are provided below.

Process #1: Case Identification

The first step in the e-filing process is to identify the court case the filer wishes to file into. If the filer is filing a new suit, also referred to as an initial filing, then this activity is moot. However in order to file into an existing case, referred to as a subsequent filing, we must first identify the appropriate case. Two APIs provide for this activity:

- GetCaseList - performs a search operation
- GetCase - retrieves additional details about a specific case

The EFSP initiates these calls to the EFM. If the court's CMS is integrated to the EFM, the EFM will proxy the EFSP's calls to the CMS in order to provide real-time data; otherwise, the EFM will service the call itself based upon any information it has on hand based upon previous activity for the case.

NOTE: For non-integrated courts, filers can still file into pre-existing cases that the EFM has not processed before, but the filer must provide full case information and the court clerk will need to validate such information as part of the review process. Such cases that are unknown to the EFM are referred to as "non-indexed cases". Once the clerk validates the information within the EFM, the case becomes "indexed" and can thereafter be found and accessed by future EFSP calls to both the GetCaseList and GetCase APIs.

Process #2: Filing Assembly and Submission

Once the appropriate case has been identified, an envelope can be assembled and submitted to the EFM via the ReviewFiling API. The system uses a number of codified fields that are configured per court requirements, therefore the case's court location – the court or office in which the case resides – is important during the assembly process, in order to obtain the appropriate code values.

Each envelope is accompanied by a payment account, which designates the method of payment for the filing(s). Payment accounts are typed, so if the court has agreed to waive fees, the filer can submit the envelope with a waiver payment account and the clerk will accept or reject the filing on its own merit. If the payment account indicates payment by credit card, the EFM will perform what is known as an Authorize transaction through the payment processing system in order to determine whether sufficient credit exists on the credit card.

Process #3: Clerk Review

Once an envelope has been successfully submitted into the EFM for clerk review, the clerk will review each filing in the envelope and determine whether to accept or reject each filing. The Clerk Review process takes place within the Odyssey File & Serve application. The envelope and all of its filings remain in this business process until each filing in the envelope has been either accepted or rejected.

Process #4: Post Review Processing & Docketing

Once every filing in an envelope has been designated as either accepted or rejected, the envelope moves into the post review processing and docketing process. If all of the filings were rejected, this process performs no actions. However, if one or more filings were accepted, the EFM will perform payment processing and document stamping.

If a CMS integration exists for the court, the EFM will initiate an exchange with the court's CMS to docket the accepted filings into the CMS:

- For filing of a new case: If the CMS supports DocumentStampInformation, the EFM will call DocumentStampInformation and await the asynchronous callback from the CMS (NotifyDocketingComplete)
- For both filing of a new case and filings into an existing case: The EFM will call RecordDocketing and await the asynchronous callback(s) from the CMS (NotifyDocketingComplete). The CMS must call NotifyDocketingComplete once per filing.

For both DocumentStampInformation and RecordDocketing, the CMS must provide a synchronous response prior to making the asynchronous callback.

If no CMS integration exists, docketing will be performed manually by the court clerks.

Process #5: Notification

In order to complete the filing process, several notifications must take place.

An integrated CMS will call the NotifyDocketingComplete API to notify the EFSP of the outcome. There are two possible models for use based upon court requirements: the Single Callback model is required in order for the CMS to send docketing failures back to the EFM. A CMS vendor can implement both models but only one can be used for a given integration configuration.

1. One callback per filing
 - For each filing in the envelope, call the NotifyDocketingComplete API to notify the EFM that docketing within the CMS is complete.
 - This is the original model supported by the EFM. In this model the callback must indicate that docketing was successful. Any failures require manual intervention.
2. Single Callback
 - Call the NotifyDocketingComplete API once for the entire envelope to notify the EFM that either docketing within the CMS is complete, or that an error has occurred.
 - This model was introduced in version 3.15 and is recommended for new implementations. In this model the CMS can indicate success or failure in docketing; However, any errors apply to the envelope as a whole.

After receiving the necessary callbacks from the CMS, the EFM will:

1. For each filing in the envelope, call the `NotifyFilingReviewComplete` API to notify the EFSP of the outcome of each filing.

Payment Processing

Credit card payment processing is through the Tyler Online Gateway (TOGA) in partnership with Chase Paymentech. Tyler collects statutory fees, court costs, and all e-filing fees. Filer credit card statements list the payments charged for these fees as two separate transactions:

- Statutory fees and court costs
- All other fees associated with e-filing (EFSP, EFM, credit card fee, and so on)

However, both transactions have the same reference tracing number, which commonly appears on credit card statements.

The EFM communicates payments to the CMS in a payment message included within the `RecordDocketing` operation. For credit card payments, the payment message includes the credit card type, last four digits of the card number, and expiration month and year.

CMS Integration to the EFM

The integration between the EFM and CMS enables the EFM to do the following:

- Transmit accepted filings to the CMS for docketing
- Query the CMS for a list of existing cases based on a limited set of search criteria
- Query the CMS for case and party information about a particular case
- Receive notification from the CMS once docketing is complete

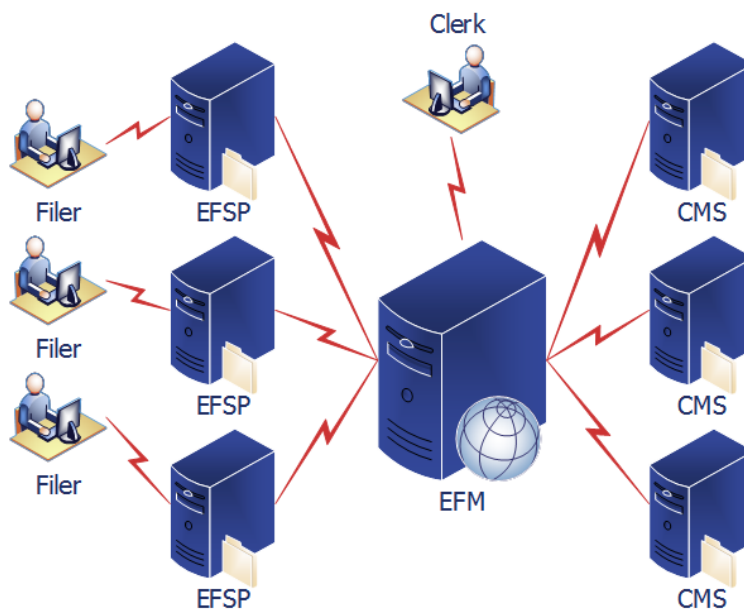


Figure 1 – File & Serve E-Filing Topology

Filing Transactions

File & Serve provides the ability to submit multiple filings for a case within a single transaction. A filing envelope represents filings grouped for a particular case; it is the top-level element for the `ReviewFiling` and `RecordDocketing` operations. Each filing transaction sent to/from the EFM is represented by an envelope. And an envelope pertains to one and *only* one case.

The Filing Envelope

An envelope contains a case, case parties, case party attorneys, filings, filing components, and documents. In addition, a filing can have service and a corresponding service contact. This diagram illustrates the relationships of the filing envelope and its child entities.

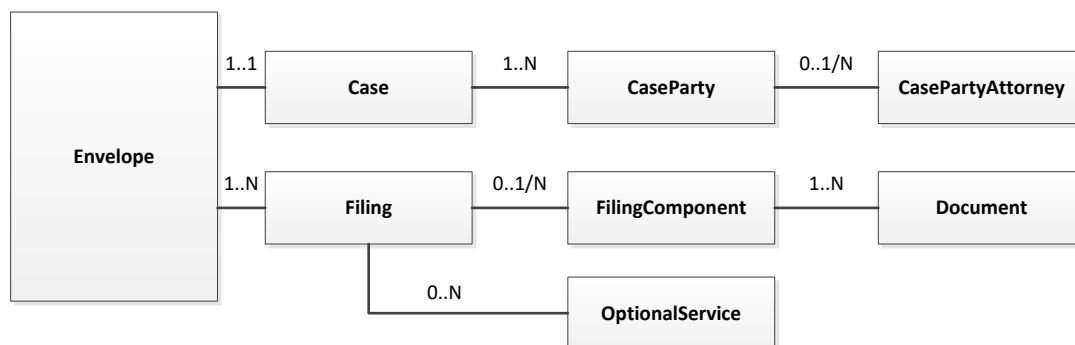


Figure 2 – Filing Envelope Entity Relationship Diagram

This table contains a description for each child entity.

Child Entity	Description
Case	Represents either an existing court case or a new court case
CaseParty	Represents a party on a court case
CasePartyAttorney	Represents an attorney representing a party on a court case. System configuration determines whether more than one attorney is allowed per case party.
Filing	Represents the metadata associated with a docket entry in a court case
FilingComponent	<p>Filing components represent the types of documents that are allowed and/or required for filings. Typical examples are lead documents and attachments, although courts may stipulate more detailed types.</p> <p>As shown in the Filing Envelope Entity Relationship diagram, there can be zero, one, or many filing components for documents on a given filing.</p> <p>Although the system support filings with no documents, this is dependent upon configuration and most filing types do indeed require at least one document.</p>
Document	Legal document from a filer to a court or to another authorized party
OptionalService	Optional services are services offered by the clerk. The two most common examples are Service of Process and Certified Copies. The clerk often charges a fee for optional services and the EFM will collect any such fees as part of the filing.

Key Facts

Note these key facts regarding a filing message and its filing envelope and child entities.

- A filing message must always contain a `Case` entity.
- A filing message contains the `CaseParty` and `CaseOfficial` entities only for new cases, when adding a party to an existing case, or when the filing refers to an existing `CaseParty`.
- A filing message must always contain at least one `Filing` entity.
- Each `Filing` entity must have at least one `FilingComponent` entity.
- Each `FilingComponent` entity must have at least one `Document` entity.
- Each `Filing` may have zero or more `Service` entities.
- Each `Service` entity must have one and *only* one `ServiceContact` entity.

Integration Models

The timing of an integration operation with respect to user activity identifies the operation as either interactive or non-interactive. Interactive and non-interactive operations are the two integration models. This table contains descriptions of the two available integration models.

Model	Description
Fully Interactive (Web Services) (Preferred and recommended model)	File & Serve communicates directly with the CMS during both the filing assembly process and the docketing process. Impact: Preferred and recommended model because it provides the greatest benefit to the courts. It serves to ensure accurate case data from the filer by virtue of <i>real-time</i> access to the CMS, plus immediate, automated docketing once the clerk approves a filing.
Non-Interactive (Secure FTP)	File & Serve relies on its historical data during the filing assembly process and <i>near real-time</i> communication with the CMS during the docketing process. Impact: Docketing is either automated or manual and not immediate. Validating filer-entered case information relies on the data previously passed through the EFM.

The business needs of a court and the capabilities of its CMS influence the choice of an integration model. Key selection factors include the balance between filing volume and technical complexity, which ultimately drives the return on investment for the integration. The integration model selected dictates not only the type of servers needed, but also affects capacity planning. Considerations such as load-balancing and fault tolerance are of elevated importance for implementations of interactive integrations.

Fully Interactive Communication Model

All fully interactive communication between the EFM and the court CMS takes place exclusively through web services over HTTPS in real time. Messages are encrypted with X.509 certificates, thereby providing for secure communications between the two systems.

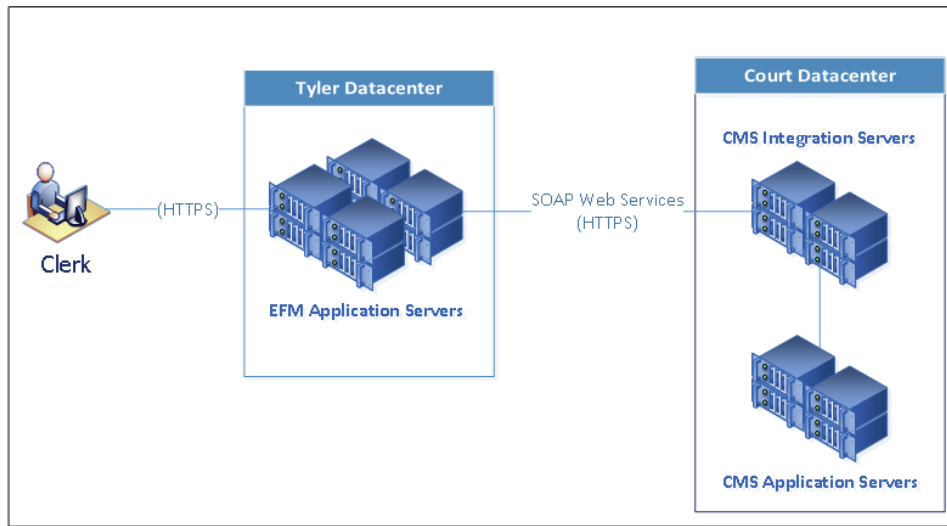


Figure 3 – EFM to CMS Fully Interactive Connectivity Diagram

The fully interactive integration model allows for the inclusion of CMS-assigned case information on document stamps for new case filings. The two approaches for facilitating this capability are:

- CMS Case Assignment (Preferred)
This approach provides the most automation, minimizing the manual steps. It does require that the CMS implement one additional web service function and invoke one additional web service function upon the EFM.
- Manual Case Assignment (Basic ECF implementation)
To include case assignment information on the document stamps, this approach requires a manual entry of this information into the EFM.

CMS Case Assignment: New Case Filings

This approach leverages the EFM's `DocumentStampInformation` extension to the ECF standard that accommodates a new case filing *prior* to the EFM invoking the ECF `RecordDocketing` operation.

Note: `DocumentStampInformation` only applies to filing new cases through Odyssey File & Serve. It is not called when processing subsequent filings.

This exchange is so the CMS can provide case assignment details (case number, court assignment, and so on) to the EFM for inclusion on the document stamp prior to sending the documents in a `RecordDocketing` operation to the CMS.

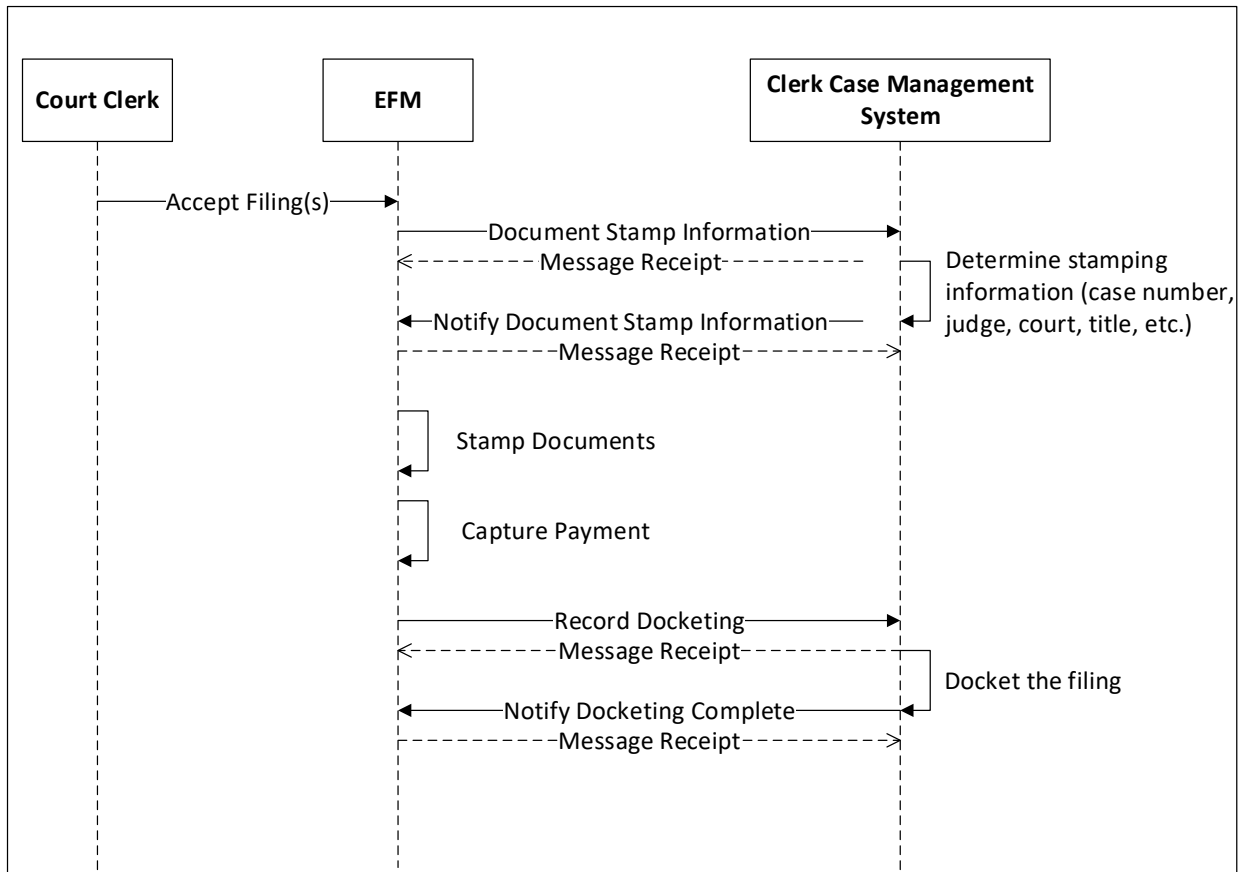


Figure 4 – Initial Filing with CMS Case Assignment (Web Services)

The exchange depicted in this diagram consists of the following interactions:

1. Court clerk approves a new case filing from within the EFM.
2. EFM invokes the `DocumentStampInformation` operation upon the CMS.
 - Note:** *DocumentStampInformation* does not include document binaries, whereas *RecordDocketing* does include the document binaries.
3. CMS creates the case and performs steps necessary to provide stamp information (e.g. assign a court, case number, case title, judge).
4. CMS invokes the `NotifyDocumentStampInformation` operation upon the EFM to indicate that the case has been created by passing the newly assigned case information.
5. EFM stamps the documents.
6. EFM captures the payment.
7. EFM invokes the `RecordDocketing` operation upon the CMS to retransmit the filing and to transfer the document binaries and the payment information to the CMS.

8. CMS stores the documents and performs any additional processing to complete the docketing process.
9. CMS invokes the `NotifyDocketingComplete` operation upon the EFM to indicate that docketing is complete.

DocumentStampInformation Facts

Appendix A contains detailed information about the `DocumentStampInformation` extension.

`DocumentStampInformation` differs from the `RecordDocketing` operation as follows:

- `DocumentStampInformation` is only called for new case filings.
- `DocumentStampInformation` does not include document binaries, whereas `RecordDocketing` does include the document binaries.
- `DocumentStampInformation` does not include payment information.

i Note: CMS receives the filing metadata twice—once for *DocumentStampInformation* and again for *RecordDocketing*. It must process the filing's metadata appropriately, taking care to avoid duplicate docket entries.

Manual Case Assignment: New Case Filings

This is the pure ECF-based approach. Document stamping takes place prior to case creation within the CMS. Therefore, if case assignment information is to be included on the document stamps, the clerk must provide the information to the EFM as part of the acceptance process.

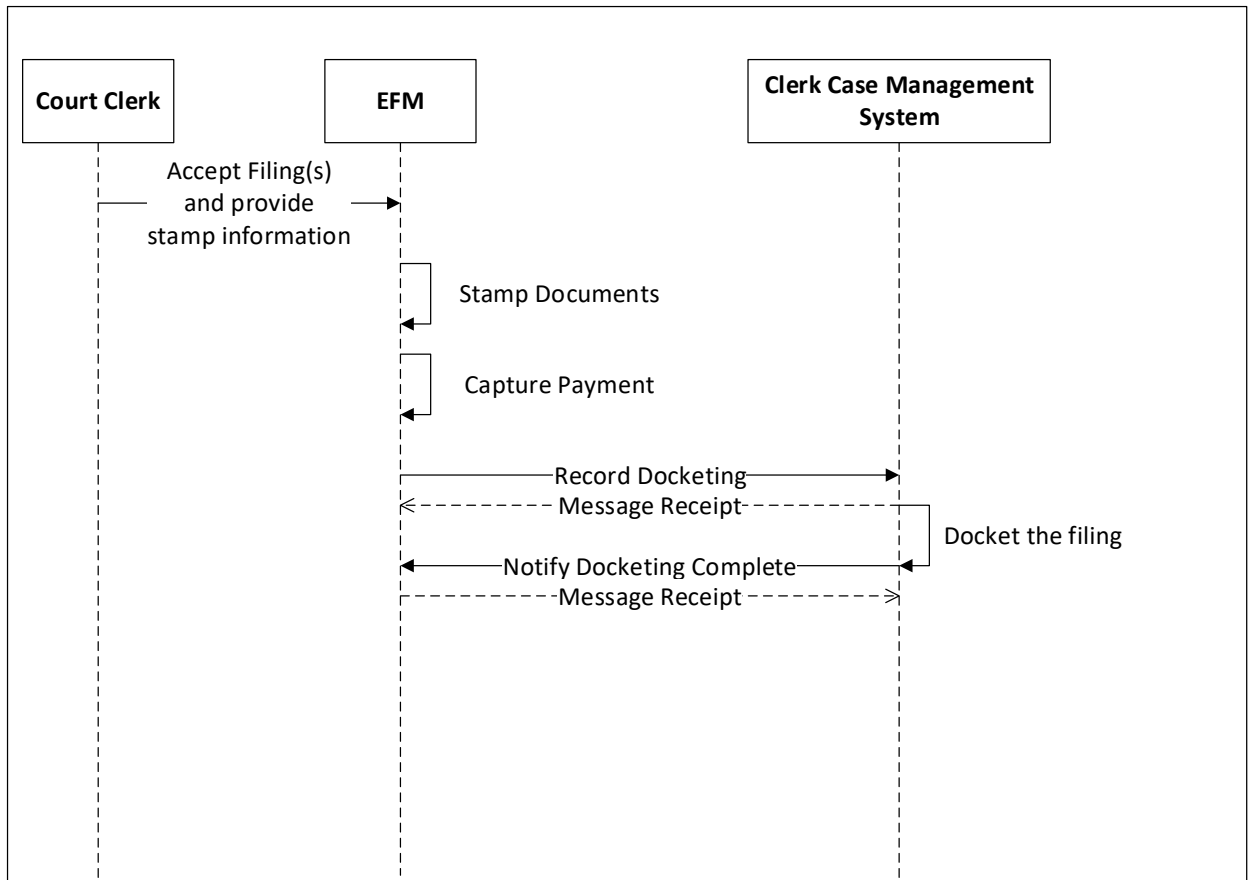


Figure 5 – Initial Filing with Manual Case Assignment (Web Services)

The exchange depicted in the diagram above consists of the following interactions:

1. Court clerk manually enters basic case information into the CMS, and the CMS assigns the case number and the court.
2. Court clerk enters the case number and court as part of approving the filing within File & Serve.
3. EFM stamps the documents.
4. EFM captures the payment.
5. EFM invokes the `RecordDocketing` operation upon the CMS to transfer the filing, documents, and payment information to the CMS.
6. CMS docks the filing, stores the documents, and records the payment; this completes the docketing process.
7. CMS invokes the `NotifyDocketingComplete` operation upon the EFM to indicate that docketing is complete.

Subsequent Filings

This diagram illustrates the message flow for processing a subsequent filing on an existing case.

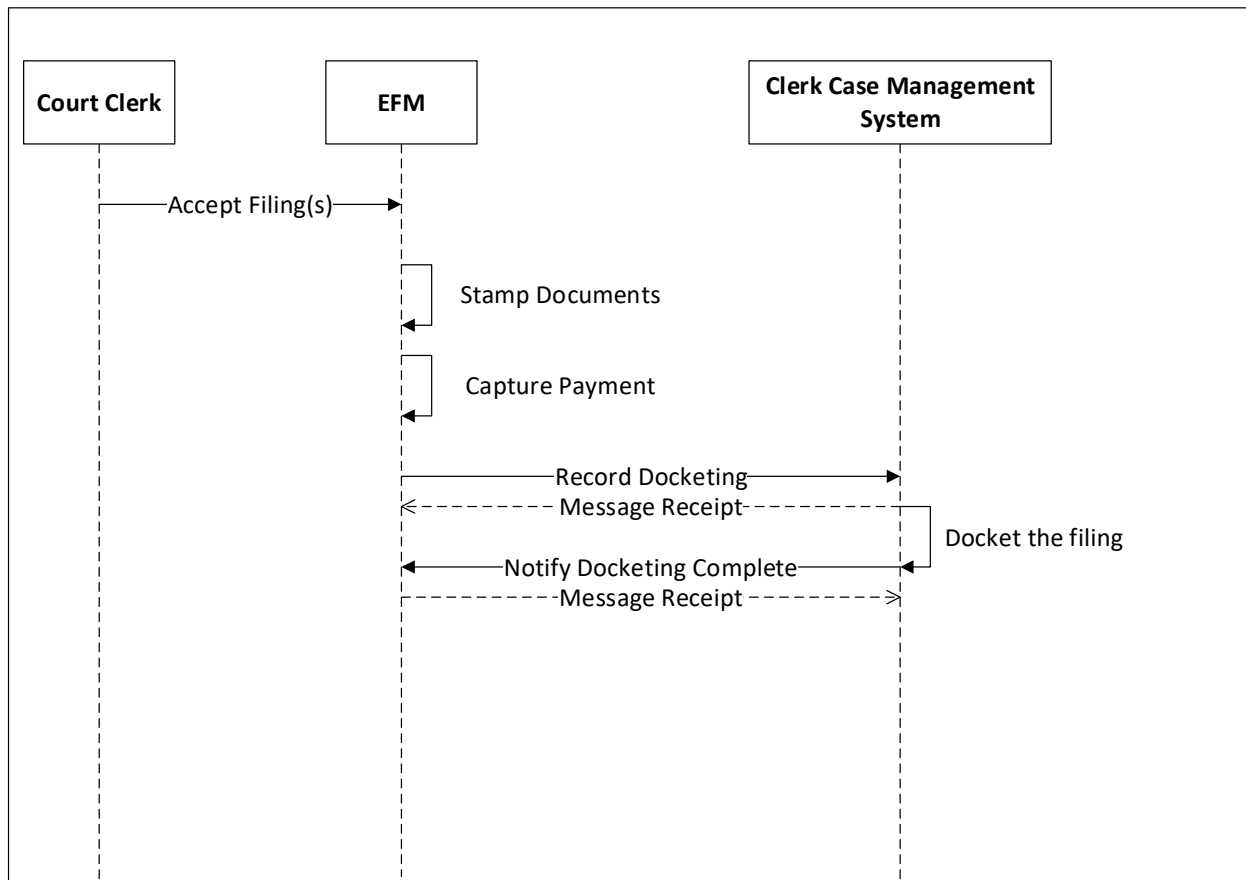


Figure 6 – Subsequent Filing (Web Services)

The exchange depicted in the diagram above consists of the following interactions:

1. Court clerk approves a subsequent filing from within the EFM
2. EFM stamps the documents.
3. EFM captures the payment.
4. EFM invokes the `RecordDocketing` operation upon the CMS to transfer the core filing message, documents, and payment information to the CMS.
5. CMS docket the filing, stores the documents, and records the payment; this completes the docketing process.
6. CMS invokes the `NotifyDocketingComplete` operation upon the EFM to indicate that docketing is complete.

Non-Interactive Communication Model

All non-interactive communication between the EFM and the court CMS takes place exclusively through Secure FTP over TCP port number 22. Messages are encrypted for secure communication between the two systems.

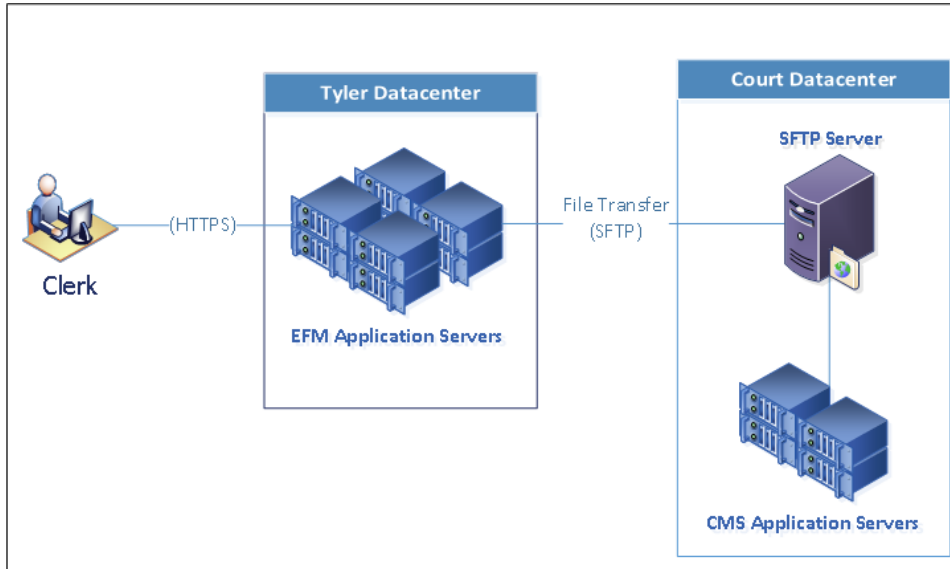


Figure 7 – EFM to CMS Secure FTP Connectivity Diagram

New Case Filings

The following diagram illustrates the non-interactive integration model message flow for processing new case filings.

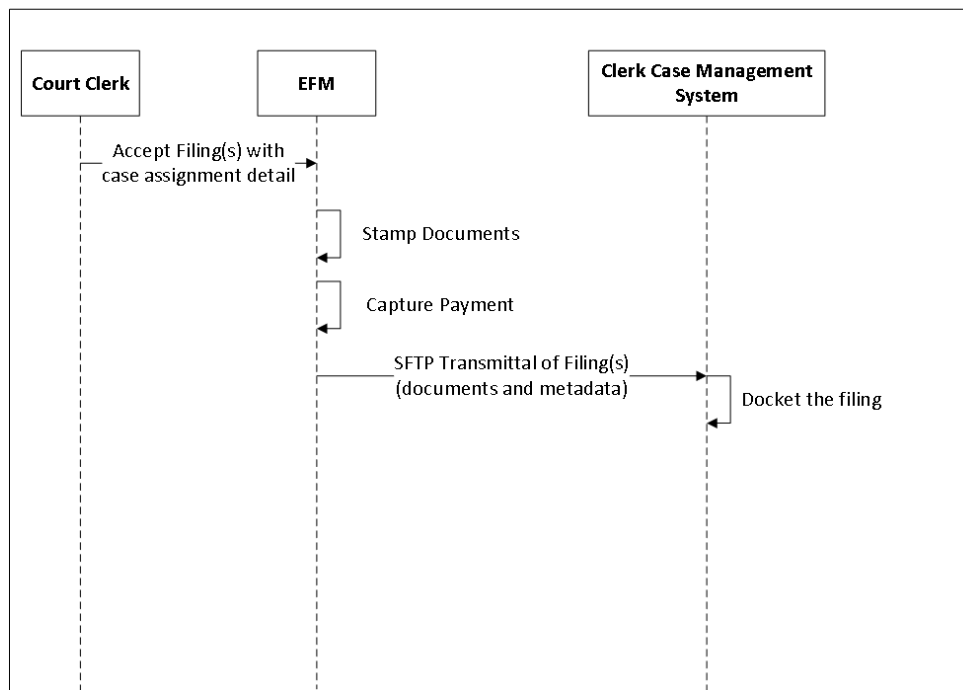


Figure 8 – Initial Filing SFTP

The exchange depicted in the diagram above consists of the following interactions:

1. Court clerk manually enters basic case information into the CMS, and the CMS provides case assignment information.
2. Court clerk enters the case number and court as part of approving the filing within File & Serve.
3. EFM stamps the documents.
4. EFM captures the payment.
5. EFM transfers a zip-compressed file to the CMS over Secure FTP. The file is delivered to the user's default directory on the SFTP site (the file cannot be delivered to a subdirectory therein).
The zip file contains the filing information, payment information, and document binaries. For detailed information on the specification for this zip file, refer to Appendix B.
6. CMS docket the filing, stores the documents, and records the payment, thereby completing the docketing process.

Subsequent Filings

The following diagram illustrates the non-interactive integration model's message flow for processing subsequent case filings.

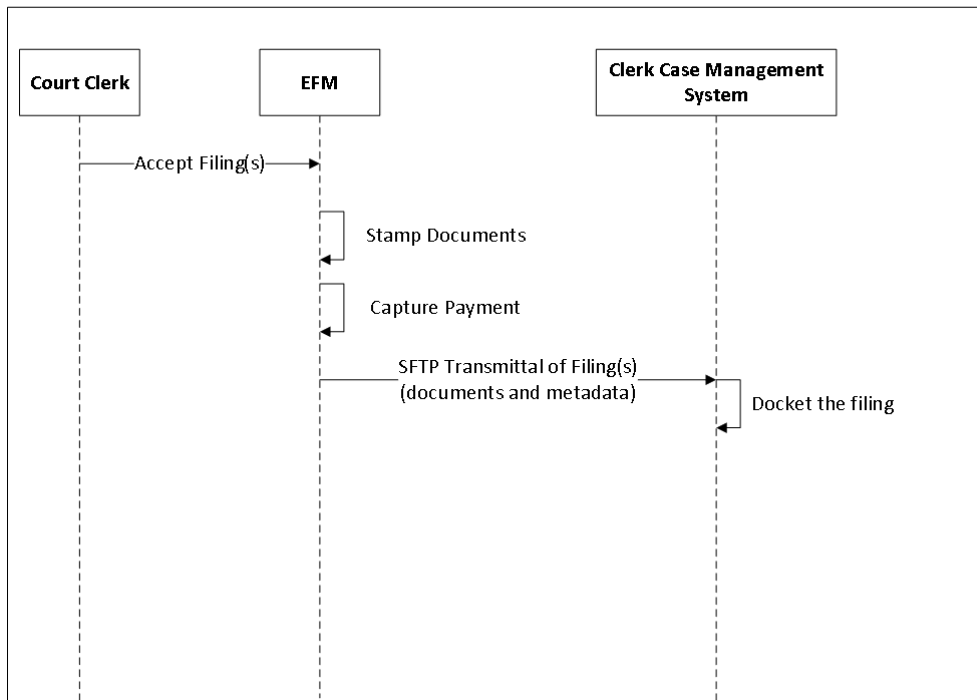


Figure 9 – Subsequent Filing SFTP

The exchange depicted in the diagram above consists of the following interactions:

1. Court clerk approves a subsequent filing from within the EFM.
2. EFM stamps the documents.
3. EFM captures the payment.
4. EFM transfers a zip-compressed file to the CMS over Secure FTP.
5. The zip file contains the filing information, payment information, and document binaries. For detailed information on the specification for this zip file, refer to Appendix B.
6. CMS docket the filing, stores the documents, and records the payment, thereby completing the docketing process.

Network and Security Infrastructure

The EFM provides secure communication mechanisms and web services that safely integrate with EFSPs and CMSs. All real-time (fully interactive) communication between the EFM and the court CMS takes place through secure web services using SOAP messages. These security requirements apply:

- Transport security: Messages exchange is over HTTPS. This ensures encryption of the HTTP request that can only be decrypted by the intended receiver.
- HTTPS traffic must utilize TLS 1.2. The 2022.1 release brings support for TLS 1.3; however, this may also require upgrades of underlying systems. Tyler will coordinate TLS 1.3 rollouts within each market.
- Message security: Messages contain a digital signature created in compliance with the *WS-I Basic Security Profile 1.1 Specification* using the EFM private key. This ensures message integrity and asserts the authenticity of the EFM.
- Tyler recommends that partner systems leverage NTP to synchronize system clocks to avoid message exchange failures.

All near real-time (non-interactive) communication between the EFM and the court CMS takes place exclusively through Secure FTP.

- Messages are encrypted, thereby providing for secure communications between the two systems.

ECF Web Services Service Interaction Profile

The [Electronic Court Filing Web Services Service Interaction Profile Version 5.0](#) Specification (SOAP messages over HTTP/HTTPS) defines the transmission system using the specifications described in the *Web Services Interoperability (WS-I) Basic Profile 1.1* and the *WS-I Basic Security Profile 1.0*. To employ the web services profile requires the availability of the appropriate web services for each MDE in order to initiate each of the required operations and submit messages for consumption.

SOAP Message Package

This figure illustrates the containment of ECF messages and attachments within a SOAP Message Package—the SOAP envelope (an XML document) and one or more Multipurpose Internet Mail Extensions (MIME) parts containing binary octets.

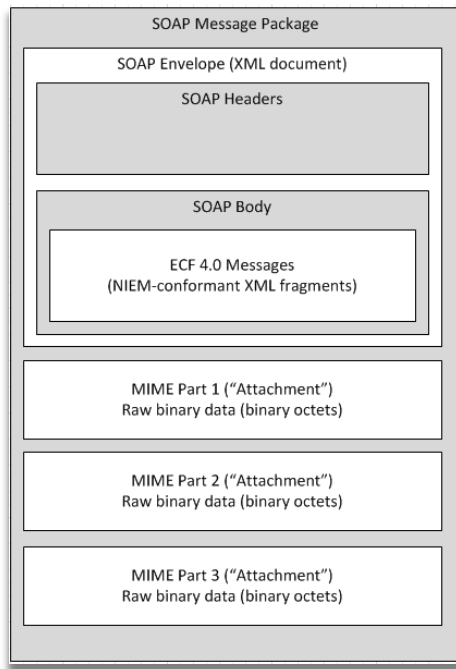


Figure 10 – SOAP Message Package

Example of Message Transmission Optimization Mechanism (MTOM)

All message exchanges are SOAP 1.1 packages that use the Message Transmission Optimization Mechanism (MTOM).

```
POST https://server/path/webservice.svc HTTP/1.1
MIME-Version: 1.0
Content-Type: multipart/related;
type="application/xop+xml";start="Envelope";start-
info="text/xml"
Host: server

--boundary
Content-ID: Envelope
Content-Transfer-Encoding: 8bit
Content-Type: application/xop+xml;charset=utf-
8;type="text/xml"

<s:Envelope>
  <s:Header>
    <o:Security>
      <u:Timestamp>
        ...
      </u:Timestamp>
      <o:BinarySecurityToken>
        ...
      </o:BinarySecurityToken>
      <ds:Signature>
        ...
    </o:Security>
  </s:Header>
  ...
</s:Envelope>
```

```
</ds:Signature>
</o:Security>
</s:Header>
<s:Body>
  <ReviewFiling>
    <CoreFilingMessage>
      ...
      <DocumentAttachment>
        <BinaryUTF8Object>
          <xop:Include
href="cid:ElectronicDocument1" />
        </BinaryUTF8Object>
        ...
      </DocumentAttachment>
      ...
    </CoreFilingMessage>
    <PaymentMessage>
      ...
    </PaymentMessage>
  </ReviewFiling>
</s:Body>
</s:Envelope>

--boundary
Content-ID: ElectronicDocument1
Content-Transfer-Encoding: binary
Content-Type: application/octet-stream

... binary data of the electronic document ...

--boundary--
```

Figure 11 – Message Transmission – MTOM Attached Document Example

Transmission of Documents

The EFM supports two models for transmitting documents to the CMS for the RecordDocketing API:

1. Embedded within the SOAP XML (base 64 encoded)
2. Sending a URL by which the documents can be downloaded

The model to use is determined via configuration within the EFM for each CMS.

Error Handling

All communication initiated by the EFM, either web service or SFTP, includes the use of an automatic retry mechanism in the event of a timeout or failure. To buffer against temporary outages, the retry mechanism employs a delay between attempts. Once this retry mechanism expires, the message routes to an exception queue for manual intervention.

For callbacks made to the EFM (NotifyDocumentStampInformation, NotifyDocketingComplete) the CMS should employ similar error handling techniques.

Appendix A – Secure FTP Filing Envelope Zip

For courts implementing a non-interactive Secure FTP-based integration with the EFM, the EFM delivers a single zip file for each e-filing envelope. This appendix contains the specifications for this zip file, namely:

- Zip File Naming Convention
- Zip File Contents

Zip File Naming Convention

The zip filename consists solely of the EFM envelope identifier—a unique 36-character GUID.

Example:

Envelope Identifier	Zip Filename
CA6C2F08-15D3-4851-8F5A-C0DE56228086	CA6C2F08-15D3-4851-8F5A-C0DE56228086.zip

Zip File Contents

The zip file contains:

- A single XML file (request.legal.xml)
 - a. This file is the same as is delivered via the Web Service mode's RecordDocketing API except that the document binaries are not embedded within the XML as they are merely additional files within the zip file. Refer to the CMSGuide.html for more information about the XML.
 - b. The XML file contains references to each of the documents as well as the filer's original filenames.
- A subfolder for each filing in the e-filing envelope
 - a. The subfolder name is the filing identifier - another GUID assigned by the EFM.
 - b. Each subfolder contains the document(s) that pertain to that filing.
 - c. Each document is uniquely named with the filing identifier followed by an underscore and a sequence number

The following table illustrates the zip file contents for an e-filing envelope with two filings.

Component	Sample
Filing XML	request.legal.xml
Filing 1, Document #1	4671DF7E-98D4-4286-A64C-47D64D39B38F\4671DF7E-98D4-4286-A64C-47D64D39B38F_0.pdf

Filing 1, Document #2	4671DF7E-98D4-4286-A64C-47D64D39B38F\4671DF7E-98D4-4286-A64C-47D64D39B38F_1.pdf
Filing 2, Document #1	696dd3c4-9ce8-46bb-9d32-ee9bf54cdc29\696dd3c4-9ce8-46bb-9d32-ee9bf54cdc29_0.pdf

