

Online Dispute Resolution

Technical Interface Standards

Working Draft 03

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The following individuals contributed their time and expertise to support this effort:

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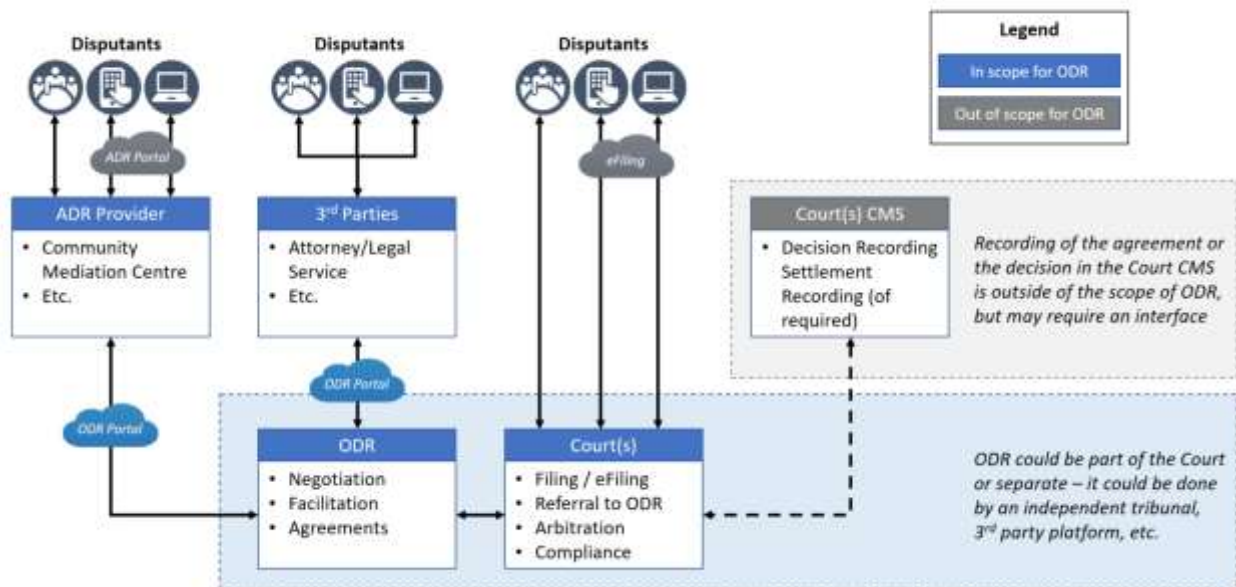
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Introduction and Scope

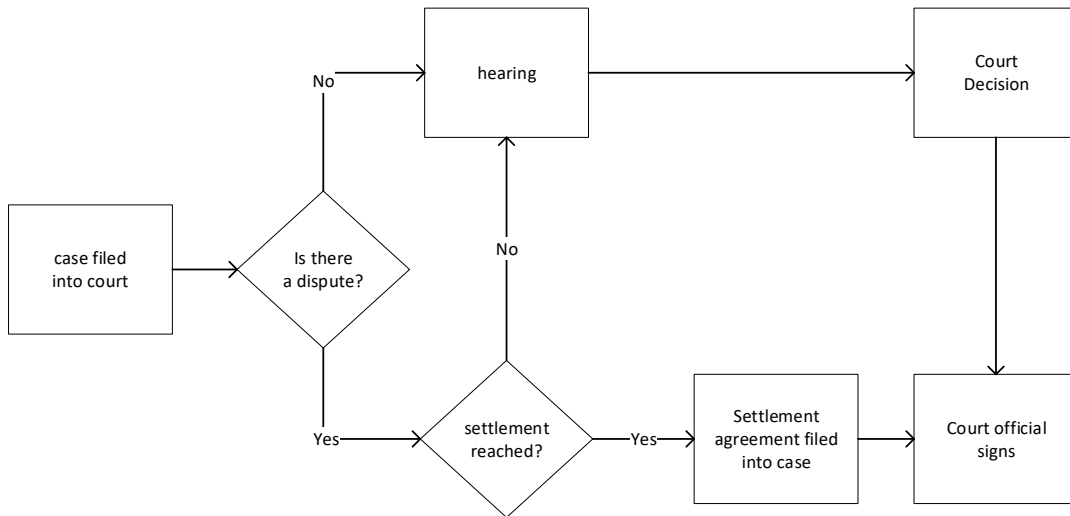
This document defines a standard set of operations and corresponding information models for interfaces required to support an Online Dispute Resolution (ODR) system.

These standards do not address functionality within an ODR system, only interfaces with other systems such as a Court Case Management System (CMS), court electronic filing systems and systems of other external partners who may refer individuals to ODR.

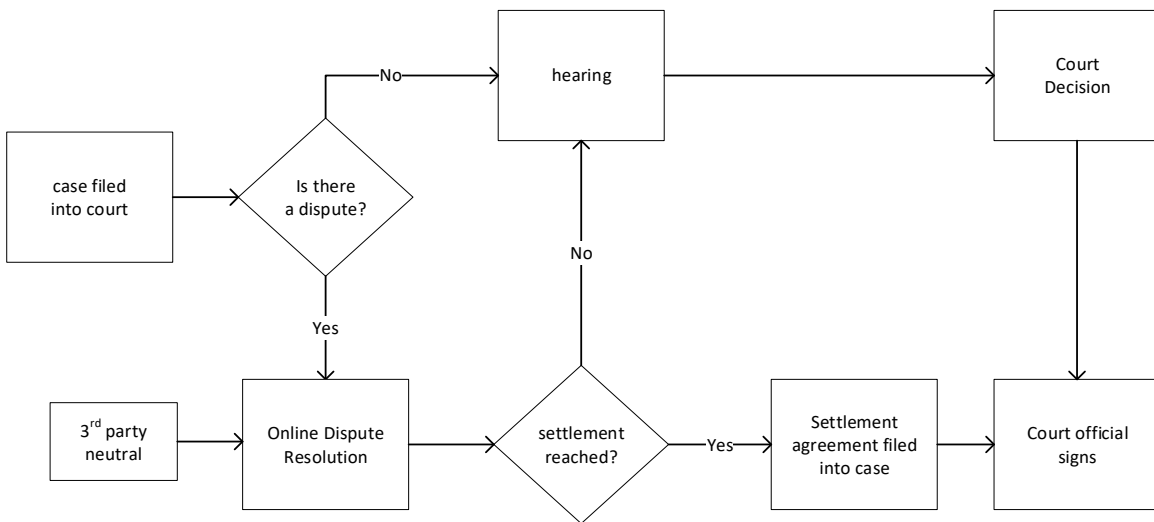
The following diagram shows a high-level ODR solution architecture with key components, actors and interactions between them.



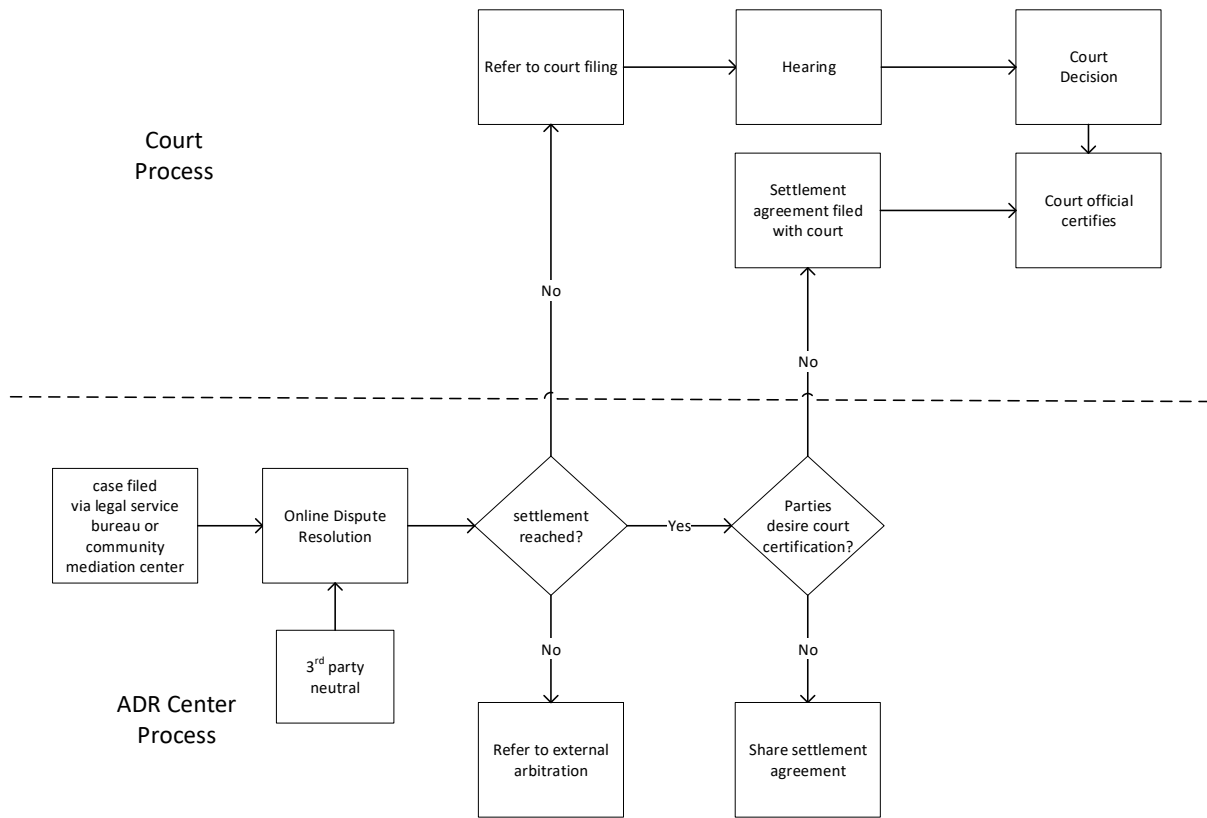
The next three diagrams are provided to help establish context for ODR interfaces by illustrating impact on court work flows. The first is a simple court work flow that does not include ODR:



The next diagram incorporates ODR into the court work flow illustrating a referral to ODR after the case is filed:



Alternatively, ODR could be implemented outside of the court work flow with optional filing of a settlement agreement:



The standards that follow define operations for interfaces supporting ODR within, or outside of, the court work flow.

Operations

This section details messages between ODR solutions and other systems, including court e-filing, court case management and external partner systems.

Operations are presented in tables with corresponding information relating to messages and data elements relevant to the affected operation. There may be sharing/confidentiality considerations that have not been addressed in this version of the standards.

Provider and Consumer systems identified in this section refer to the following systems:

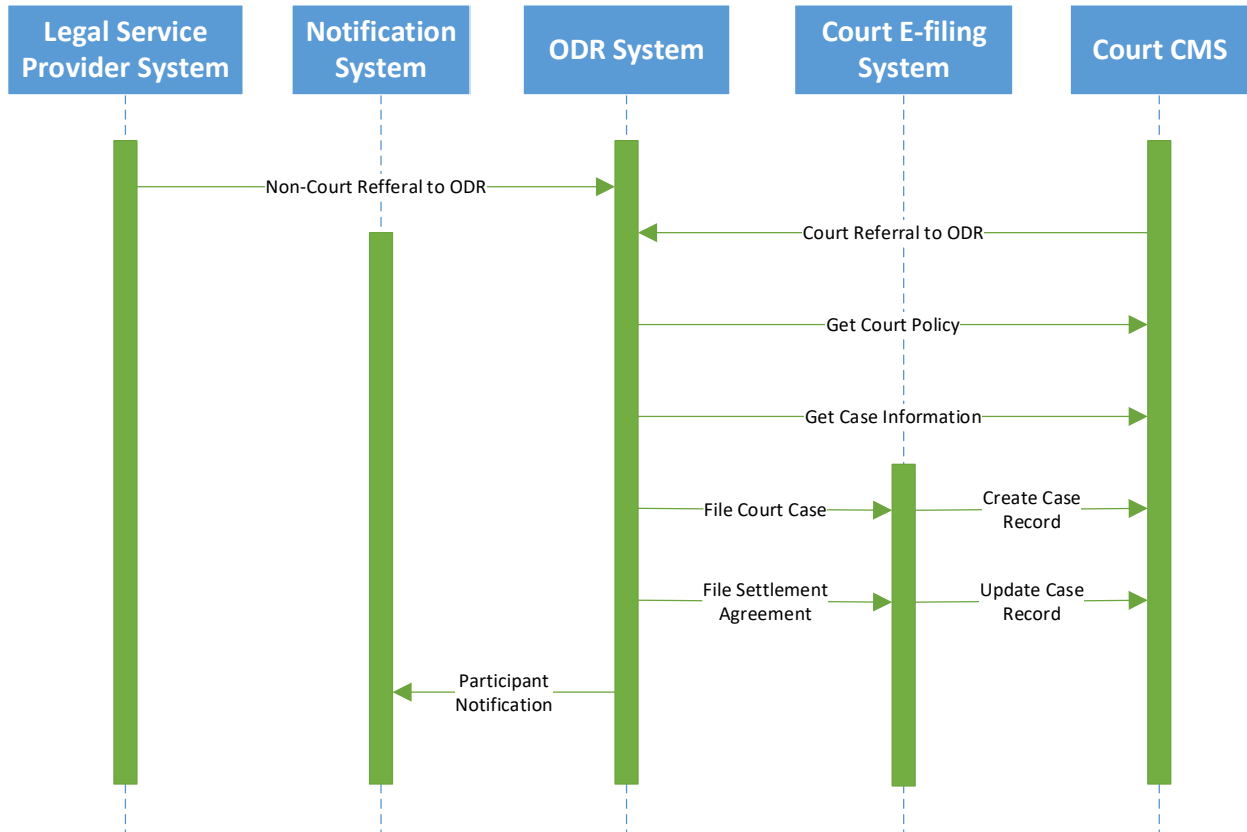
- ODR – Online Dispute Resolution system
- Court CMS – Court case management system
- EFM – Court Electronic Filing Manager (as defined by the OASIS LegalXML Electronic Court Filing standards¹ (ECF) version 4.01 or later.
- EFSP – Electronic Filing Service Provider as defined by the ECF standards.
- External Partner – A non-court third-party system providing referrals to ODR.
- Notification – A separate notification system that may be used by a court to send notifications to case participants using multiple delivery options as supported by the court and/or desired by the recipient.

There are seven basic operations supported in this version of the ODR Interface Standards:

- Get Court Policy
- Court Referral to ODR
- Non-Court Referral to ODR
- Get Case Information
- File Case
- File Settlement Agreement
- Participant Notification

The following sequence diagram illustrates these operations and the systems involved. The “Legal Service Provider System” in this diagram could represent any organization that provides assistance to citizens seeking help with a legal matter.

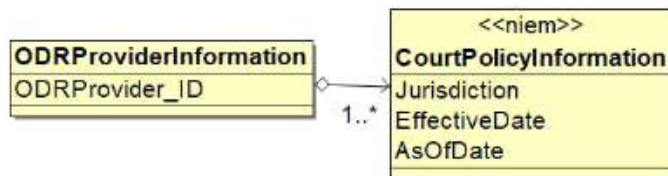
¹ OASIS Electronic Court Filing Technical Committee (ECF TC), https://www.oasis-open.org/committees/tc_home.php?wg_abbrev=legalxml-courtfiling



Each operation has a set of messages (input and response messages) as detailed in the sections that follow. Some operations assume use of ECF messages defined in the OASIS ECF specifications.

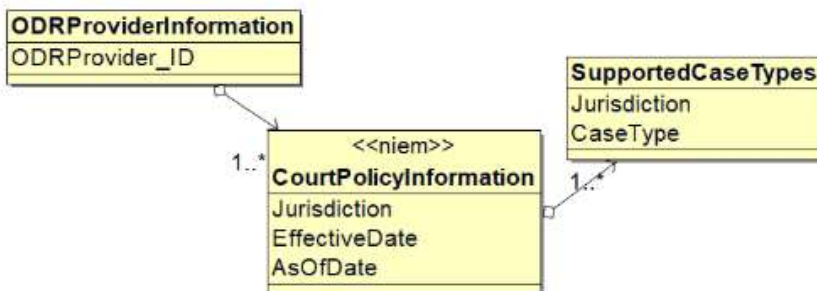
Operation: Get Court Policy

Message Name	RequestCourtPolicyMessage
Response Message Name	ReturnCourtPolicyMessage
Provider System	Court CMS
Consumer System	ODR (requestor)
Input Elements	Jurisdiction/Court ID Requesting ODR Provider ID As of Date
Response Elements	Jurisdiction/Court ID Requesting ODR Provider ID Effective Date Case Types Supporting Referral to ODR
Notes	This operation will be further developed in future versions of the ODR Interface Specifications.



The Court returns the EffectiveDate in the return

CourtPolicyMessage

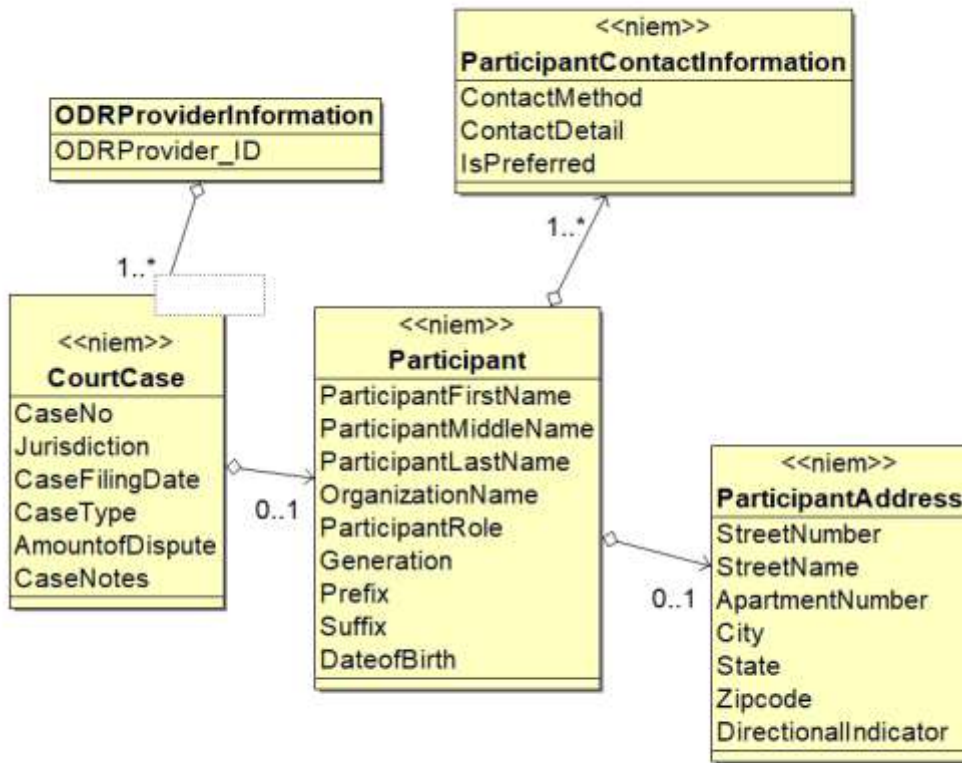


The CourtPolicyInformation Class contains the EffectiveDate rather than the AsOfDate in the return message.

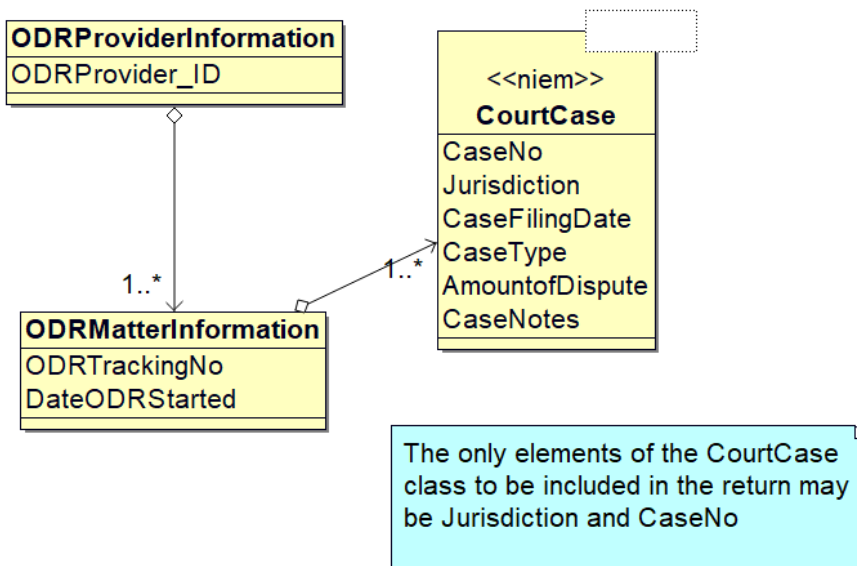
ReturnCourtPolicyMessage

Operation: Court Referral to ODR

Message Name	CourtReferralMessage
Response Message Name	NotifyCourtReferralCompleteMessage
Provider System	Court CMS (requestor)
Consumer System	ODR
Input Elements	<p>ODR Provider ID</p> <p>Jurisdiction/Court ID</p> <p>Case Number</p> <p>Case Filing Date</p> <p>Participant (one or more; name, organization, etc.)</p> <p>Participant Contact Info (one or more for each participant; method, detail appropriate to contact method, etc.)</p> <p>Case Type</p> <p>Amount of Dispute (if applicable)</p> <p>Case Notes (if applicable)</p>
Response Elements	<p>ODR Provider ID</p> <p>Jurisdiction/Court ID</p> <p>Case Number</p> <p>ODR Tracking Number</p> <p>Date ODR Started</p>
Notes	Additional data elements may be needed depending on case type.



CourtReferralMessage

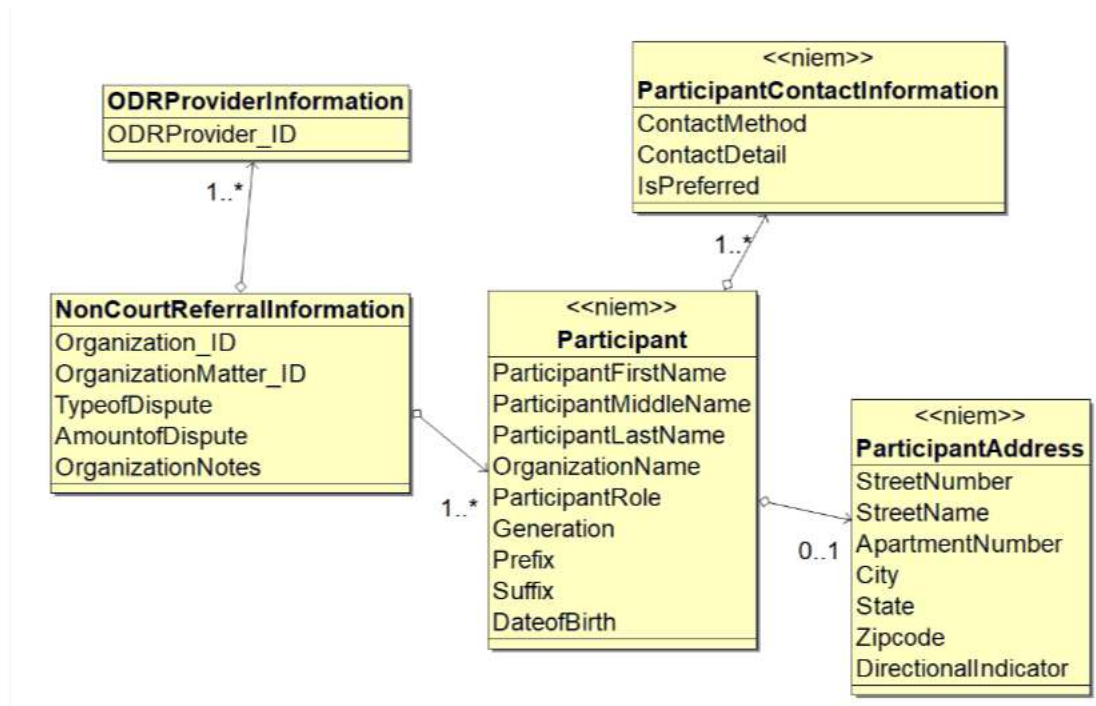


The only elements of the CourtCase class to be included in the return may be Jurisdiction and CaseNo

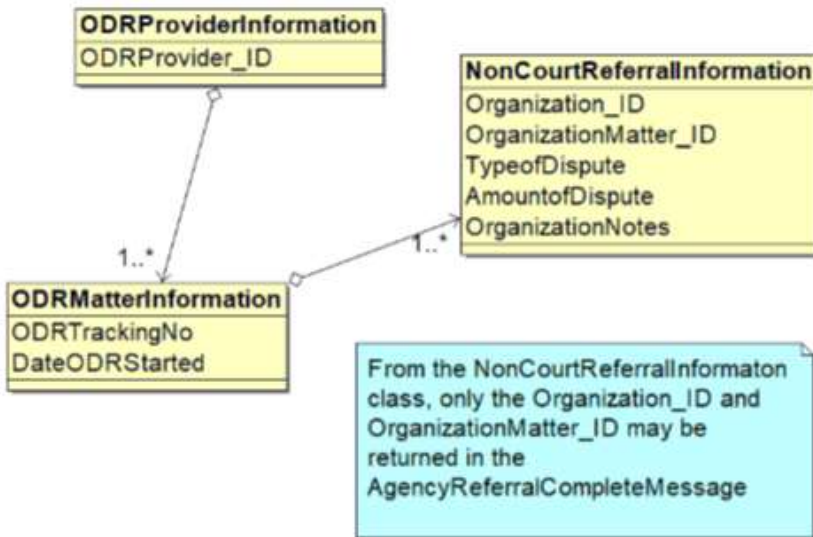
NotifyCourtReferralCompleteMessage

Operation: Non-Court Referral to ODR

Message Name	NonCourtReferralMessage
Response Message Name	NotifyNonCourtReferralCompleteMessage
Provider System	Court CMS (requestor)
Consumer System	ODR
Input Elements	Referring Organization (Organization ID, Matter ID) Type of Dispute Amount of Dispute (if applicable) Case/Organization Notes (if applicable) ODR Provider ID Participant (one or more; name, organization, role, etc.) Participant Contact Info (one or more for each participant; method, detail appropriate to contact method, etc.)
Response Elements	Referring Organization (Organization ID, Matter ID) ODR Provider ID ODR Tracking Number Date ODR Started
Notes	Additional data elements may be needed depending on type of dispute.



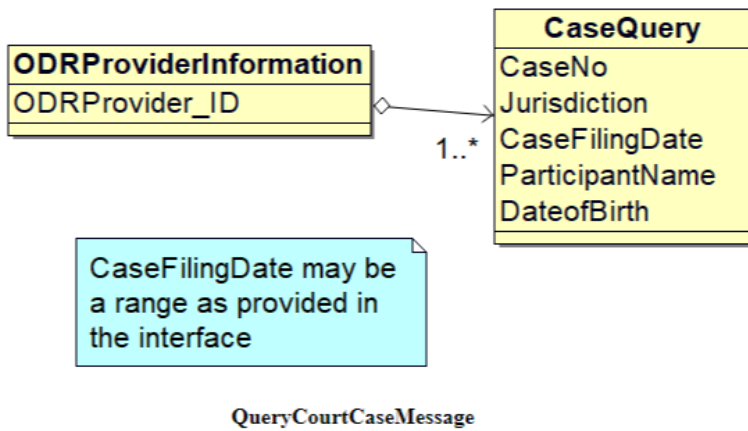
NonCourtReferralMessage

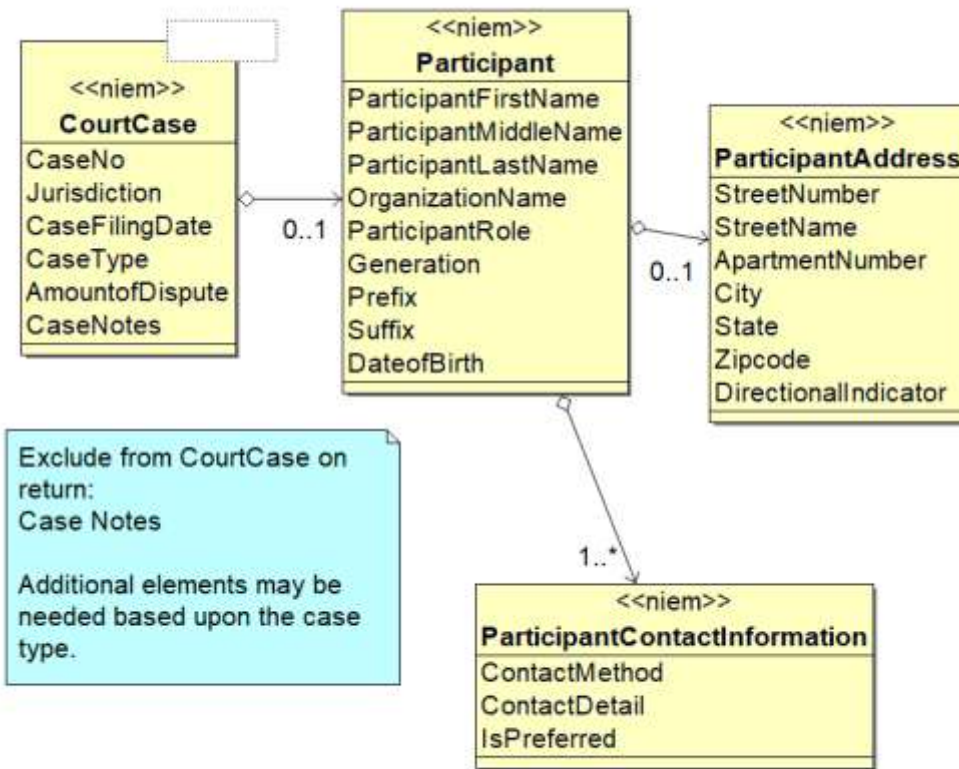


NotifyNonCourtReferralComplete

Operation: Get Case Information

Message Name	QueryCourtCaseMessage
Response Message Name	ReturnCourtCaseInfoMessage
Provider System	Court CMS
Consumer System	ODR (requestor)
Input Elements	<p>ODR Provider ID</p> <p>Jurisdiction / Court ID</p> <p>Case Number</p> <p>Date Filed (range)</p> <p>Name</p> <p>DOB</p>
Response Elements	<p>ODR Provider ID</p> <p>Jurisdiction / Court ID</p> <p>One or more cases with:</p> <ul style="list-style-type: none"> - Case Number - Date Filed - Case Type - Amount of Dispute (if applicable) - Participant (one or more; name, organization, role, etc.) - Participant Contact Info (one or more for each participant; method, detail appropriate to contact method, etc.)
Notes	Additional data elements may be needed depending on case type.





`ReturnCourtCaseInfoMessage`

Operation: File Case

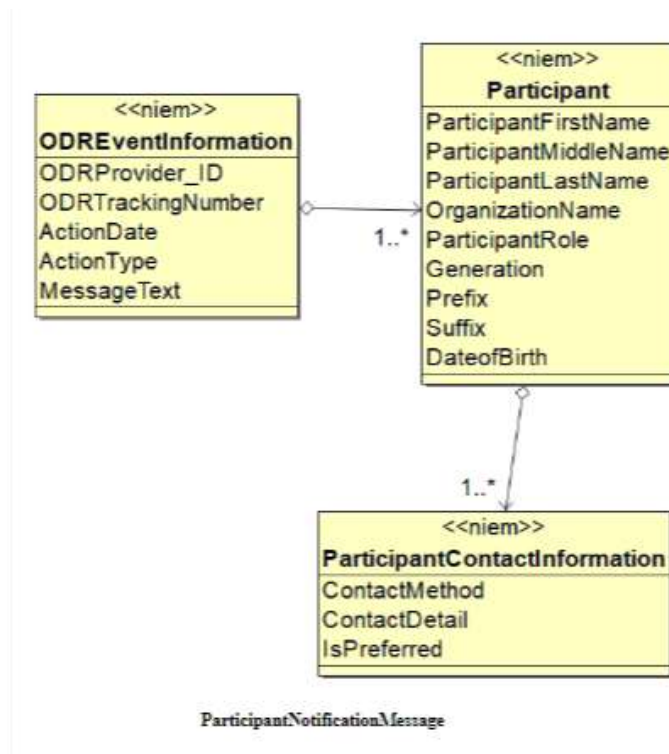
Message Name	ReviewFilingMessage (per ECF 4.01)
Response Message Name	NotifyDocketingCompleteMessage (per ECF 4.01)
Provider System	ODR (requestor)
Consumer System	EFM or EFSP
Input Elements	<p>ODR Provider ID Jurisdiction / Court ID Submission Date Party Names Party Contact Info (mailing addresses, email addresses, etc.) Amount of Dispute (if applicable) Type of Dispute ODR Tracking Number Other elements as required by the ECF standards</p>
Response Elements	<p>ODR Provider ID Jurisdiction / Court ID Case Number Date Filed Other elements as required by the ECF standards</p>
Notes	<p>If filing via the Court EFM, this version of the standards assumes compliance with ECF (i.e., the ODR system is acting as an EFSP). If filing via a third-party EFSP, that EFSP may have different requirements that this version of the standard does not specify beyond minimal elements as noted above.</p>

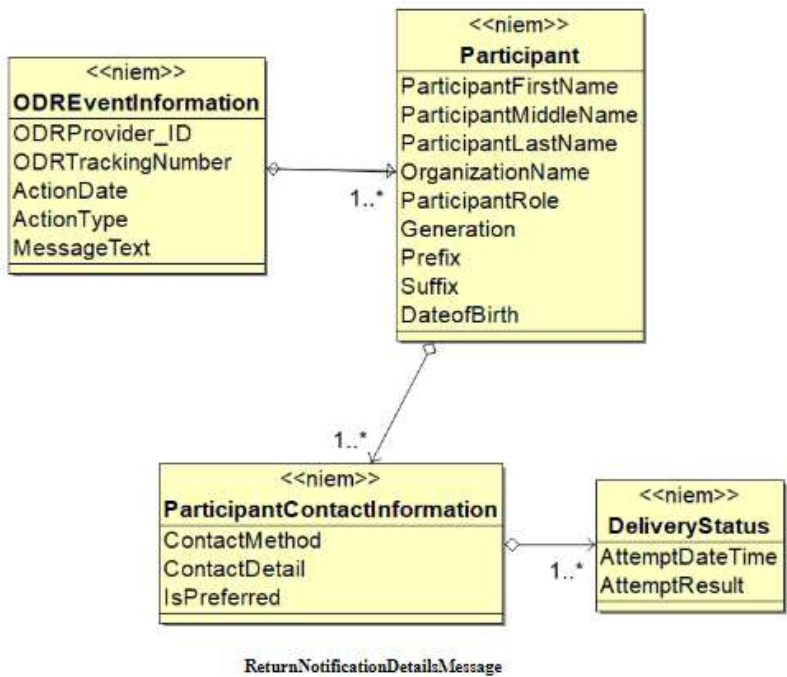
Operation: File Settlement Agreement

Message Name	ReviewFilingMessage (per ECF)
Response Message Name	NotifyDocketingCompleteMessage (per ECF)
Provider System	ODR (requestor)
Consumer System	EFM or EFSP
Input Elements	<p>ODR Provider ID Jurisdiction / Court ID Case Number Submission Date Settlement Type (this may also be used to indicate the parties were unable to come to agreement) Settlement Amount (by party, if applicable) ODR Tracking Number</p>
Response Elements	<p>ODR Provider ID ODR Tracking Number Jurisdiction / Court ID Case Number Judgment/Disposition Date</p>
Notes	<p>If filing via the Court EFM, compliance with ECF is assumed (i.e., the ODR system is acting as an EFSP), including provision for other data elements required by the ECF standards. If filing via a third-party EFSP, that EFSP may have different requirements that this version of the standard does not specify beyond minimal elements as noted above.</p>

Operation: Participant Notification

Message Name	ParticipantNotificationMessage
Response Message Name	ReturnNotificationDetailsMessage
Provider System	ODR (requestor)
Consumer System	Notification
Input Elements	<p>ODR Provider ID</p> <p>ODR Tracking Number</p> <p>Action Date</p> <p>Action Type</p> <p>Message Text</p> <p>Participant (one or more; name, organization, role, etc.)</p> <p>Participant Contact Info (one or more for each participant; method, detail appropriate to contact method, etc.)</p>
Response Elements	<p>ODR Provider ID</p> <p>ODR Tracking Number</p> <p>Delivery Status (for each participant and contact method; attempt date/time, result)</p>
Notes	ODR solutions may have their own notification capabilities which may eliminate the need for this operation.





Plans for Future Versions

This initial version of the ODR Interface Standards provides very basic guidance on messages and logical data models addressing functional needs of ODR interfaces. These standards do not dictate what protocols should be used to implement the defined messages or how to format message content/payload. Our intent is that future versions of these standards will indeed specify requirements for messaging and content in a manner that will more readily support interoperability among ODR solutions and court systems. This may include conformance with the National Information Exchange Model (NIEM) as has been common in other justice-related information sharing initiatives, including the ECF standards.

Appendix A. Definitions

This appendix provides brief definitions for data elements referenced in the ODR interfaces described in this document. Elements are grouped by classes of data used in the models.

Court Case

Case Number (CaseNo) – Sequence of numbers and letters that the court assigns to identify the case.

Jurisdiction – Code or name that identifies the court with jurisdiction over the case.

Case Filing Date (CaseFilingDate) – Date the case was officially filed in the jurisdiction.

Case Type (CaseType) – Type of case such as Criminal, Civil, Family, Probate, etc.

Amount of the Dispute (AmountofDispute) – Amount disputed, if applicable. Usually applies to civil cases.

Case Notes (CaseNotes) – Notes that the court enters that are relevant to the recipient of the message.

Participant

Participant First Name (ParticipantFirstName) – First name of an individual. This field does not apply to corporate entities.

Participant Last Name (ParticipantLastName) – Surname of an individual.

Organization Name (OrganizationName) – Name of an organization that is participating in an ODR matter.

Participant Middle Name (ParticipantMiddleName) – Middle name or initial of an individual.

Participant Role (ParticipantRole) – Role the individual or corporation plays in the dispute.

Participant Generation (ParticipantGeneration) – Participant generation, such as Jr. or Sr.

Prefix – Prefix for an individual such as Mr. or Ms.

Suffix – Suffix for an individual, such as Ph.D.

Date of Birth (DateofBirth) – Year, month and day of an individual's birth.

Participant Address

Street Number(StreetNumber) – Street number for an address.

Street Name (StreetName) – Name of a street such as Main Street.

Apartment Number(ApartmentNumber) – Designation for the apartment in a multi-tenant facility.

City – City where the address is located.

State – State where an address is located.

Postal Code (PostalCode) – A zip code or other postal designator.

Directional Indicator (DirectionalIndicator) – Street compass-based direction, such as N, S, NW, NE.

Participant Contact Information

Contact Method (ContactMethod) – This designates the means by which someone should be contacted such as phone, email, text, etc.

Contact Detail (ContactDetail) – Number or other string used to contact someone such as phone number, email address, etc.

Is Preferred (IsPreferred) – Provides the means to indicate a preferred contact method.

Referring Organization Information

Organization (Organization_ID) – Unique identifier for the organization or agency that is referring someone to ODR.

Agency Matter ID (AgencyMatter_ID) – Unique identifier assigned to an organization or agency matter to allow for return messaging.

Type of Dispute (TypeofDispute) – Type of dispute being referred, if known.

Amount of Dispute (AmountofDispute) – Amount of the dispute being referred, if applicable.

ODR Matter Information

ODR Tracking Number (ODRTrackingNo) – Unique number assigned by the ODR system to allow for messaging responses.

Date ODR Started (DateODRStarted) – Date the ODR matter was initiated.

Court Policy Information

Jurisdiction – Court or other administrative jurisdiction from which the ODR policy is being requested.

Effective Date (EffectiveDate) – Effective date of the ODR policy that is being requested. This value is returned by the court.

As of Date (AsofDate) – Date sent by an ODR requestor that should establish the proper policy to be provided.

Supported Case Types

Jurisdiction – Court or other administrative jurisdiction from which the ODR policy is being requested.

Case Type (CaseType) – Types of cases that are supported for ODR in a specific court or other jurisdiction.

ODR Event Information

ODR Provider ID (ODRProvider_ID) - Unique identifier assigned to an ODR provider.

ODR Tracking Number (ODRTrackingNo) – Unique identifier assigned to an ODR matter.

Action Date (ActionDate) – Date an action or event occurred in the ODR system that other participants may need to be aware of.

Action Type (ActionType) – Type of action that occurred, such as an agreement to terms.

Party Affected (PartyAffected) – Party that may be affected by the action.

Message Text (MessageText) – Informational text informing other participants in detail what may have occurred.

Delivery Status

Attempt Date Time (AttemptDateTime) – Assuming some notifications systems may have the ability to attempt delivery more than once, this is the attempt date and time.

Attempt Result (AttemptResult) – If the attempt is not an acknowledgement, this is the any other status, such as bounced or blocked.

Appendix B. Revision History

Version	Date	Editor	Description
wd 01	22 October 2018	Jim Harris	Initial working draft
wd 02	14 January 2019	Jim Harris Barb Holmes	Corrections, narrative updates, sequence diagram
wd 03	28 February 2019	Jim Harris Barb Holmes	Corrections, model updates, definitions