



# Service Description Document:

## CCMS Data Exchange COL902

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COURT SENDS FRANCHISE TAX BOARD -  
INTERAGENCY INTERCEPT  
COLLECTIONS (FTB-IIC) ACCOUNT  
INFORMATION NOTIFICATION  
JUNE 2011



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## Revision History

Version	Date	Author	Description of Changes
1.0.0	June 2011	M. West	First release

## Reference Documents

Version	Date	Document Title	Author
9.0	June 2011	<a href="#">ISB and CCMS Data Exchange Overview</a>	Deloitte Consulting
9.0	June 2011	<a href="#">Data Exchange Functional Design Guidelines</a>	Deloitte Consulting
2.0.0	September 2011	<a href="#">Data Exchange Common Technical Requirements</a>	AOC
1.0.0	September 2011	<a href="#">COL904 Data Exchange Specification</a>	Deloitte Consulting/AOC/SEARCH
1.0.0	June 2011	<a href="#">Service Description Document: CCMS Data Exchange COL901 Court Sends Collections Case Referral Notification</a>	Optimum Technology
9.0	July 2011	<a href="#">CCMS Data Exchange Errors</a>	Deloitte Consulting
1.0	July 2010	<a href="#">Court Policy File Overview</a>	AOC
N/A	September 2011	<a href="#">AOC Codes</a>	AOC/SEARCH
1.0	September 2011	<a href="#">Local Integration Assessment Methodology (LIAM)</a>	AOC
2.0	June 2010	<a href="#">LIAM Light</a>	AOC







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## 1.0 Executive Summary

### 1.1 Purpose

The purpose of this document is to provide integration partners with descriptive information regarding the context and business processes when preparing to implement data exchanges with the California Court Case Management System (CCMS). This document details the exchange content requirements and related business requirements needed for the trial court to send tax refund intercept account information notifications to the California Franchise Tax Board.

Integration partners most likely to use this data exchange include:

- California Franchise Tax Board (FTB)

This document reflects agency business rules and policies that have a direct impact on the system interactions among court and integration partners. This is a companion to the exchange specifications contained in the exchange eXtensible Markup Language (XML) schemas, Web Service Description Language (WSDL) files, and the “*CCMS Data Exchange Common Technical Requirements*,” and should be reviewed along with those documents when preparing for deployment. The XML schemas, WSDLs, and Common Technical Requirements provide specific technical details regarding message structures and implementation requirements, including infrastructure, security, and deployment information. Collectively, these documents provide all of the information an integration partners requires to send and receive data with CCMS for this exchange.

The information contained here compiles court-specific information from a number of AOC documents and resources, including the “*CCMS Data Exchange Functional Design*,” “*CCMS Core Application Functionality*,” and the “*CCMS Technical Architecture*.” The content of this Service Description Document provides integration partners with a concise, detailed explanation of data exchange content and related business processes, and includes the following topics:

- Exchange description
- Events and conditions
- CCMS business processes and rules
- CCMS data requirements
- Message patterns
- Exceptions, acknowledgements, errors
- Other descriptive information

This document is based on the [Global Justice Reference Architecture’s Service Specifications Guidelines](#)<sup>1</sup>.

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<sup>1</sup> <http://www.it.ojp.gov/default.aspx?area=nationalInitiatives&page=1015#RefSSPs>



Prior to implementing data exchanges with CCMS, it is strongly advised that each integration partner participate in a readiness assessment prepared by the AOC in partnership with the courts. This assessment, called the “*Local Integration Assessment Methodology (LIAM)*,” consists of four phases that provide integration partners and the courts with necessary information prior to implementation activities. Figure 1 describes this process in more detail.

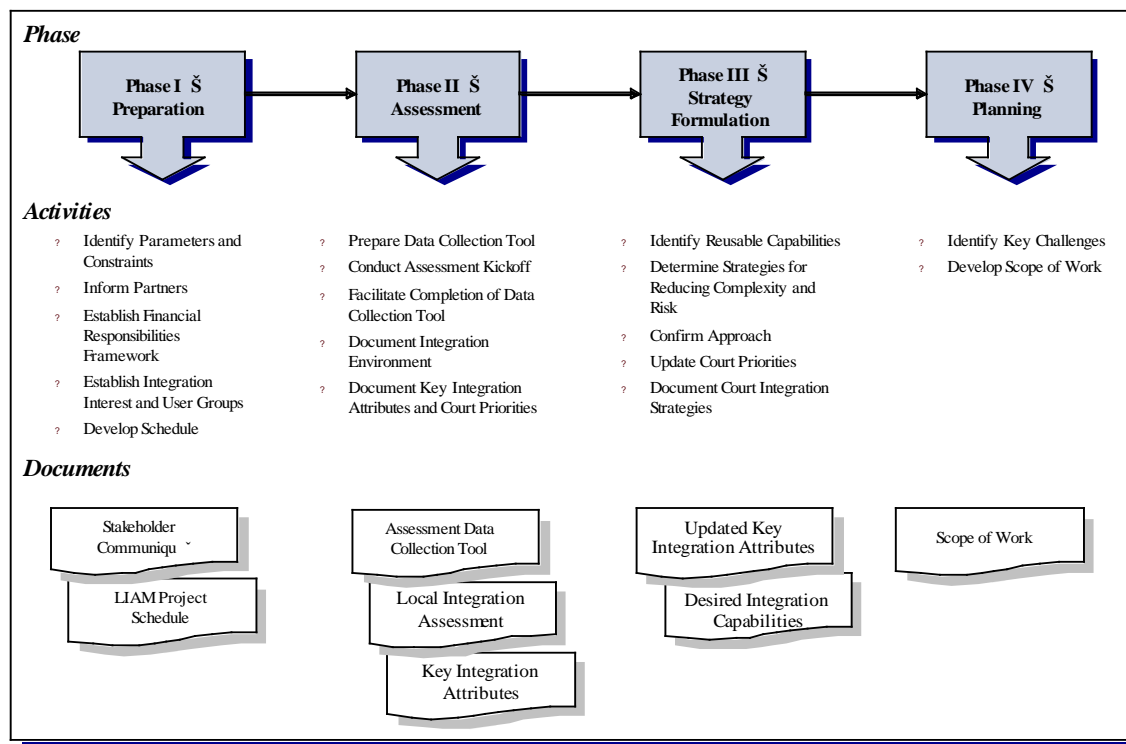


Figure 1. Implementation Phases

Alternatively, an integration partner can choose to participate in the “*LIAM Light*” assessment, which focuses on replacing existing electronic exchanges instead of automating new exchanges.

After CCMS is deployed with the replaced existing exchanges, integration partners may want to use the full LIAM to assess other business processes that can be automated using other exchanges.

## 1.2 Audience

Audiences for this document are subject matter experts (SMEs) and technical staff, who need to understand how this data exchange works in order to implement it between an integration partner and CCMS. Known audiences include:

- Integration partner CCMS Data Exchange Implementation Team
- CCMS Deployment Team
- AOC Data Integration staff, including business analysts, developers, and architects, etc.
- Integrated Services Backbone (ISB) vendors



- CCMS vendors
- Court CCMS project managers and SMEs

### **1.3 CCMS Data Exchange Overview**

As part of the CCMS project, 121 data exchanges servicing all case types were developed to enable courts and their integration partners to exchange information using CCMS. Sixty-three exchanges are based on data exchange standards established in the [National Information Exchange Model](#)<sup>2</sup> (NIEM), and 58 exchanges are based on California judicial branch XML schema. It is important to note that each of the 121 exchanges is actually a set of exchanges that includes individual exchanges for Request, Response, and Error Handling. A complete list of CCMS data exchanges is available on the [Integration Partners website](#)<sup>3</sup>.

### **1.4 Assumptions**

The following is a list of current assumptions:

- Integration partners and courts have completed their LIAM process as a prerequisite to implementing data exchanges.
- Integration partners have a working proficiency with Web services and XML, and a basic understanding and knowledge of the NIEM structure and implementation concepts.

### **1.5 Risks**

To date, there are no risks identified for this exchange.

### **1.6 Conventions Used in this Document**

#### **1.6.1 Exchange naming convention**

During the data exchange development process, the AOC adopted a standard naming convention to describe the “action” of the exchange from the court perspective, and applied an alphanumeric categorization for various court functions. Each follows this format:

<Application>-<Interface Number><Interface Name>

Where:

- *Application* is CCMS
- *Interface Number* consists of code name of functional area (two or three letters (e.g., “DOJ” for Department of Justice-related data exchanges)), and a three-digit number:

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<sup>2</sup> <http://niem.gov/>

<sup>3</sup> <http://www.courts.ca.gov/partners/482.htm>



- If the first digit is “8” then CCMS is receiving the data from an integration partner.
- If the first digit is “9” then CCMS is sending the data to an integration partner.
- The remaining two digits identify the unique integer ID sequentially assigned to the data exchange.
- *Interface Name is descriptive name of the data exchange.*

Examples:

- CCMS-V4-DOJ802 Receive Disposition Error Report Notification
  - CCMS receives data from an integration partner.
- CCMS-V4-DOJ901 Send Initial, Subsequent Disposition Notification
  - CCMS sends data to an integration partner.
  - CCMS sends data to an integration partner.



## 2.0 Exchange Description

This section outlines the requirements and functional design for the COL902 Court Sends Franchise Tax Board – Interagency Intercept Collections (FTB-IIC) Account Information Notification data exchange. A trial court uses this California judicial branch XML schema-based data exchange to send tax refund intercept account information notifications to the FTB. This exchange is triggered when the court sends case referrals or modifications by creating original fee referral files or modified referral files, which include additions, modifications, and removals of the original fee referral files.

This data exchange does not include a functional success response message, but the FTB may return an error response message to the court if an error is encountered.

### 2.1 Capabilities

This service provides the ability for a trial court (service consumer) to **send** tax refund intercept account information notifications to the FTB (service provider).

### 2.2 Real World Effects

This service provides the ability for the FTB (service provider) to **receive** tax refund intercept account information notifications from the trial court (service consumer).

### 2.3 Related Forms and Exchanges

#### 2.3.1 Business response exchanges

All exchanges subject to a court clerk review have corresponding business response exchanges that describe the outcome of the court clerk's review.

- This data exchange is not subject to a court clerk review; consequently there are no corresponding business response exchanges.

#### 2.3.2 Related exchanges

The related exchanges identify associated exchanges integration partners may use to modify, update, or complete a correlated business process.

- CCMS-V4-COL901 Send Collections Case Referral Notification data exchange, which a court uses to send the initial case referral to an integration partner.

#### 2.3.3 Related forms

“Related forms” refers to forms, reports, or other documents currently used by courts and integration partners for the types of documents that may be included in this data exchange. This list is not exhaustive and is not an authoritative list of documents replaced by the data exchange; it is only for informational purposes.

- There are no related forms.



## ***2.4 Assumptions and Dependencies***

The data exchange specification package includes a data mapping specification based on the CCMS-specific definitions used in this exchange. Each integration partner is responsible for mapping, or performing data translations if necessary, for all content (including coded values) sent and received through this exchange.



## 3.0 Primary and Alternate Information Flows

This section provides a basic description of the exchange sequence and flow between an integration partner and CCMS. It explains the primary scenario for successful delivery and receipt of data exchange content, and alternate flow of information for error and exception handling scenarios. Additional diagrams and descriptions of information flows are found in the “*Data Exchange Functional Guidelines*”

### 3.1 Primary Flow

1. CCMS sends a tax refund intercept account information notification to the ISB.
2. The ISB receives the tax refund intercept account information notification, performs schema validation, and forwards the message to the FTB.
3. The FTB receives the message and performs business validations, per the rules outlined in [Section 6.0, Additional Business Rules and Processes](#). If an error is encountered, the integration partner sends an error response to the ISB.
4. The ISB receives the error response, performs schema validation, facilitates data mapping to the California judicial branch XML schema standard, and forwards the error response to CCMS..
5. CCMS receives the response message and takes appropriate action.

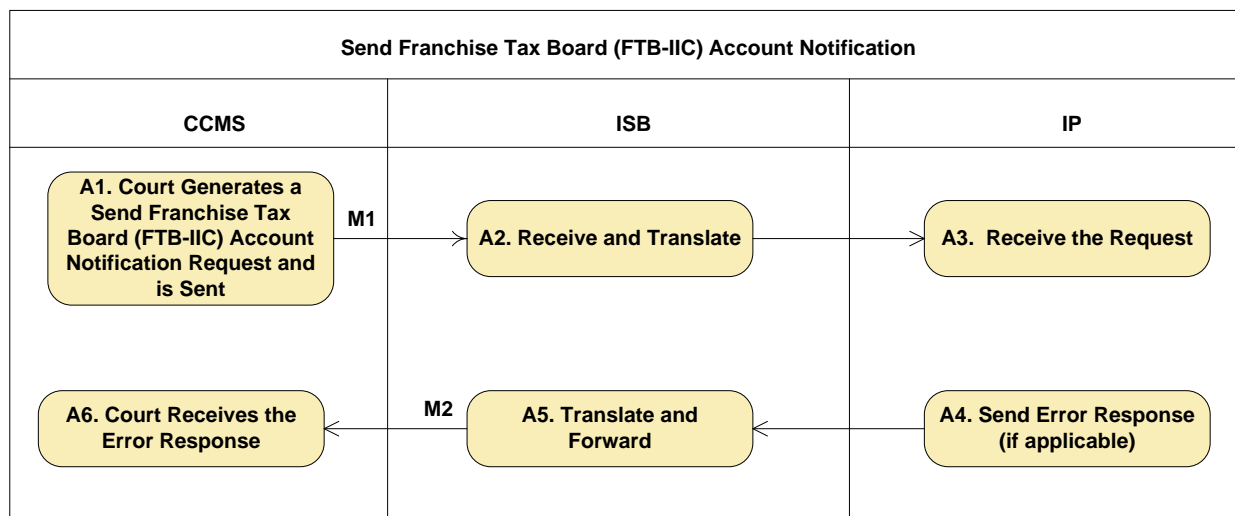


Figure 2. Court Sends Franchise Tax Board – Interagency Intercept Collections (FTB-IIC) Account Information Notification Activity Diagram



### **3.2 Alternate Flow**

This exchange includes three possible alternate flows, depending upon the nature of the problem.

- The ISB returned a positive acknowledgement to the source system (CCMS), and an exception occurs within the ISB, (e.g., schema validation) before the request is forwarded to the target system (California Franchise Tax Board). The ISB handles the exception and sends a response (containing failure reason) to the source system (CCMS).
- The ISB returned a positive acknowledgement to the source system (CCMS), and an exception occurs when the ISB attempts to forward the request to the target system (California Franchise Tax Board). The ISB handles the exception and sends a response (containing failure reason) to the source system (CCMS).
- The ISB forwards the request to the target system (California Franchise Tax Board) and receives a negative acknowledgement, (e.g., syntactic data error) from the target system. The ISB handles the exception and sends a response (containing failure reason) to the source system (CCMS).

### **3.3 Messages**

A data exchange message<sup>4</sup> is a complete package of information sent between the courts and an integration partner. This exchange includes two types of messages.

1. Request message
  - a. The Request message contains the notification information, (e.g., Fee ID, CCMS case number, participant, amount, and violation) sent from the courts to the integration partner.
2. Response messages
  - a. The Success Response message is sent indicating that the FTB successfully received the notification request message.
  - b. The Error Response message contains error and error description information indicating the notification request message was not successful and corrective action is required.

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<sup>4</sup> As defined in the Justice Reference Architecture v1.8 February 2010.



## **4.0 Exchange Context**

This section provides integration partners with specific information regarding the context of the exchange.

### **4.1 *Triggering Events***

A trial court sends case referrals.

- Conditions = None

A trial court sends account modifications.

- Conditions = None

### **4.2 *Subsequent Events***

The FTB is notified and updates its system with the fee referrals/account modifications information.

- Conditions = None







## 5.0 Data Exchange Errors and Exceptions

“*CCMS Data Exchange Errors*” contains all exchange specific errors that may occur between an integration partner and CCMS; it includes the following three sections that list error codes, names, and descriptions for each error type:

- **Transient and non-transient errors** may occur while the ISB processes messages.
- **Functional errors** may occur while the ISB or CCMS process messages.
- **Transactional errors** may occur while processing a message in CCMS according to the Business Rule validations identified in [Section 6.0, Additional Business Rules and Processes](#).







## 6.0 Additional Business Rules and Processes

This section contains additional business rules and process requirements for an integration partner to successfully send or receive information from CCMS. The content of this section reflects specific rules that either cannot or are not enforced in the technical specifications that accompany onboarding documents, specifically the mapping spreadsheets, exchange schemas, and code schemas. Integration partners must rely on this information in order to produce and consume valid messages exchanged with CCMS.

### 6.1 Business Rules

Table 1. Business Rules

Referenced Element	Business Rule Description
External Case Number	Required if Legacy Case Indicator is “Y”
Last Name	Required if participant is not an entity/organization

### 6.2 Allowable Values

This section provides additional information regarding individual allowable values for elements contained in this exchange. Essentially, allowable values come in two forms—AOC codes or Boolean types. This section includes subsections that list elements by each type with specific instructions for each type.

#### 6.2.1 AOC code values

Table 2. AOC Code Values

Element Name	Schema Name
Error Response	
Error Code	See “CCMS Data Exchange Errors” for a list of errors
Error Description	See “CCMS Data Exchange Errors” for a list of errors

#### 6.2.2 Court configurable elements

Each local court has the ability to create, edit, and remove allowable values for some data elements.

- There are no court configurable data elements in this data exchange.

In practice, many of these values are standard across courts, but integration partners should contact their local court administrator for an authoritative list of the court-specific allowable values. These values will be contained in the Court Policy File, which describes specific court business and operational rules (e.g., hours of operation, code lists, and fee schedules) in a machine-readable format. The Court Policy File for each local court will be developed as part of the CCMS deployment of that court. Integration partners can learn more about the Court Policy File by referring to the “Court Policy File Overview.”



### **6.2.3 Indicator element allowable values**

This exchange includes numerous ‘Indicator’ elements that provide additional information related to a specific condition or scenario. The following is a list of indicator elements contained in this exchange. The allowable values for each element must be either “Y” = yes or “N” = No. Integration partners should not rely on the exchange mapping spreadsheets for the indicator element allowable values, but rather the exchange schemas contained in the appropriate schema folder.

The following schema is the authoritative source for the indicator allowable values:

- Legacy Case Indicator

## **6.3 Business Processes**

There are no additional business processes that impact the exchange.

## **6.4 Data Classification**

At the time of this writing, no security classifications or restrictions to the data contained in this exchange have been identified.

### **6.4.1 Privacy considerations**

At the time of this writing, no specific privacy considerations for the content contained in this exchange have been identified.



## 7.0 ISB Message Processing

### 7.1 Routing

The ISB performs message routing for this data exchange. Routing rules are based on the content contained in the Common Service Header, which is described in the “*CCMS Data Exchange Common Technical Requirements*.” In addition, AOC will use the following data elements’ rules to route this exchange to an integration partner:

- Court Code
- Data Exchange Name

### 7.2 Message Interactions

This is an asynchronous exchange; however, all messages sent to the ISB are processed in real time. This means messages received by the ISB are validated, translated to the appropriate format, and routed to the destination immediately.

- A message is retransmitted every hour until 8:00 a.m. the following day before being declared unsuccessful.

Refer to the “*Data Exchange Functional Design Guidelines*” for an additional description of the message interactions with the ISB and CCMS.







## Appendix A. Acronyms

*Table 3. Acronyms*

<b>Acronym</b>	<b>Name</b>
ACCMS	Appellate Court Case Management System
AOC	Administrative Office of the Courts
CCMS	California Case Management System
CCTC	California Courts Technology Center
CEB	Common Element Block
DI	data integration
F&F	Fees and Fines
FTA	Failure To Appear
IP	integration partner
ISB	Integrated Services Backbone
LIAM	Local Integration Assessment Methodology
NIEM	National Information Exchange Model
OWSM	Oracle Web Services Management
RRA	request/reply-asynchronous
RRS	request/reply-synchronous
SDD	Service Description Document
SLA	service level agreement
SME	subject matter experts
URL	Universal Resource Locator
WSDL	Web Services Description Language
XML	eXtensible Markup Language



