



Service Description Document:

CCMS Data Exchange EFL902

COURT SENDS CLERK REVIEW
REJECTION NOTIFICATION
JUNE 2011



ADMINISTRATIVE OFFICE
OF THE COURTS

INFORMATION SERVICES DIVISION

Judicial Council of California
Administrative Office of the Courts
Information Services Division
455 Golden Gate Avenue
San Francisco, California 94102-3688
415-865-4200
www.courts.ca.gov

Copyright © 2011 by Judicial Council of California/Administrative Office of the Courts. All rights reserved.

Except as permitted under the Copyright Act of 1976 and as otherwise expressly provided herein, no part of this publication may be reproduced in any form or by any means, electronic or mechanical, including the use of information storage and retrieval systems, without permission in writing from the copyright holder. Permission is hereby granted to nonprofit institutions to reproduce and distribute this publication for educational purposes if the copies credit the copyright holder.

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	ISB and CCMS Data Exchange Overview	Deloitte Consulting
9.0	June 2011	Data Exchange Functional Design Guidelines	Deloitte Consulting
2.0.0	September 2011	Data Exchange Common Technical Requirements	AOC
1.0.0	September 2011	EFL902 Data Exchange Specification	Deloitte Consulting/AOC/SEARCH
1.0.0	June 2011	Service Description Document: CCMS Data Exchange ACC801 Court Receives Victim Restitution Establishment Request	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange ACC802 Court Receives Cash Bail Notification	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange ACC803 Court Receives Bail Bond Notification	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange CAL801 Court Receives Calendar Event Request	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange CAS806 Court receives Public Defender Assignment Notification	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange DSP816 Court Receives Proposed Order After Hearing (OAH)	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI802 Court Receives Case Initiation Filing – Felony, Misdemeanor and Infraction (FMI)	Optimum Technology

Version	Date	Document Title	Author
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI803 Court Receives Case Initiation Filing – Juvenile	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI804 Court Receives Case Initiation Filing – Small Claims	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI805 Court Receives Case Initiation Filing – Civil Limited/Unlimited	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI806 Court Receives Case Initiation Filing – Family Law (Adoption)	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI807 Court Receives Case Initiation Filing – Family Law (Marriage/Domestic Partnership with/without Child)	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI808 Court Receives Case Initiation Filing – Family Law (Complaint Regarding Parental Obligation)	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI809 Court Receives Case Initiation Filing – Family Law (Uniform Interstate Family Support Act (UIFSA))	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI810 Court Receives Case Initiation Filing – Family Law (Petition for Custody/Support)	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI811 Court Receives Case Initiation Filing – Family Law (Domestic Violence Prevention (DVP) with/without Child)	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI812 Court Receives Case Initiation Filing – Family Law (Registration of Judgment or Order)	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI813 Court Receives Case Initiation Filing – Family Law (Miscellaneous)	Optimum Technology

Version	Date	Document Title	Author
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI814 Court Receives Case Initiation Filing – No Complaint Filed (NCF)	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI816 Court Receives Subsequent Case Filing	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI819 Court Receives Case Initiation Filing – Probate	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange INI820 Court Receives Case Initiation Filing – Mental Health	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange ISS803 Court Receives Warrant Re-issuance/Purge Request	Optimum Technology
9.0	July 2011	CCMS Data Exchange Errors	Deloitte Consulting
1.0	July 2010	Court Policy File Overview	AOC
N/A	September 2011	AOC Codes	AOC/SEARCH
1.0	September 2011	Local Integration Assessment Methodology (LIAM)	AOC
2.0	June 2010	LIAM Light	AOC

Table of Contents

1.0	Executive Summary	1
1.1	Purpose	1
1.2	Audience.....	2
1.3	CCMS Data Exchange Overview	3
1.4	Assumptions	3
1.5	Risks	3
1.6	Conventions Used in this Document	3
1.6.1	Exchange naming convention.....	3
2.0	Exchange Description	5
2.1	Capabilities	5
2.2	Real World Effects	5
2.3	Related Forms and Exchanges	5
2.3.1	Business response exchanges	5
2.3.2	Related exchanges	5
2.3.3	Related forms.....	6
2.4	Assumptions and Dependencies	6
3.0	Primary and Alternate Information Flows	7
3.1	Primary Flow	7
3.2	Alternate Flow	8
3.3	Messages	8
4.0	Exchange Context.....	9
4.1	Triggering Events	9
4.2	Subsequent Events.....	9
5.0	Data Exchange Errors and Exceptions	11
6.0	Additional Business Rules and Processes	13
6.1	Business Rules.....	13
6.2	Allowable Values	13
6.2.1	AOC Code Values	13
6.2.2	Court configurable elements.....	14
6.2.3	Indicator element allowable values	14
6.3	Business Processes	15
6.4	Data Classification	15
6.4.1	Privacy considerations	15
7.0	ISB Message Processing.....	17
7.1	Routing	17
7.2	Message Interactions	17
Appendix A.	Acronyms	19

List of Figures

Figure 1. Implementation Phases	2
Figure 2. Court Sends Clerk Review Rejection Notification Activity Diagram.....	7

List of Tables

Table 1. Business Rules	13
Table 2. AOC Code Values	13
Table 3. Acronyms.....	19

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 data exchange that will be used by a trial court to send a rejection response to an inbound request received using a data exchange subject to clerk review. The rejection notification information in this data exchange is sent to the same integration partner who originated the request.

Integration partners most likely to use this data exchange include:

- Electronic filing service providers

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](#)¹.

¹ <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.

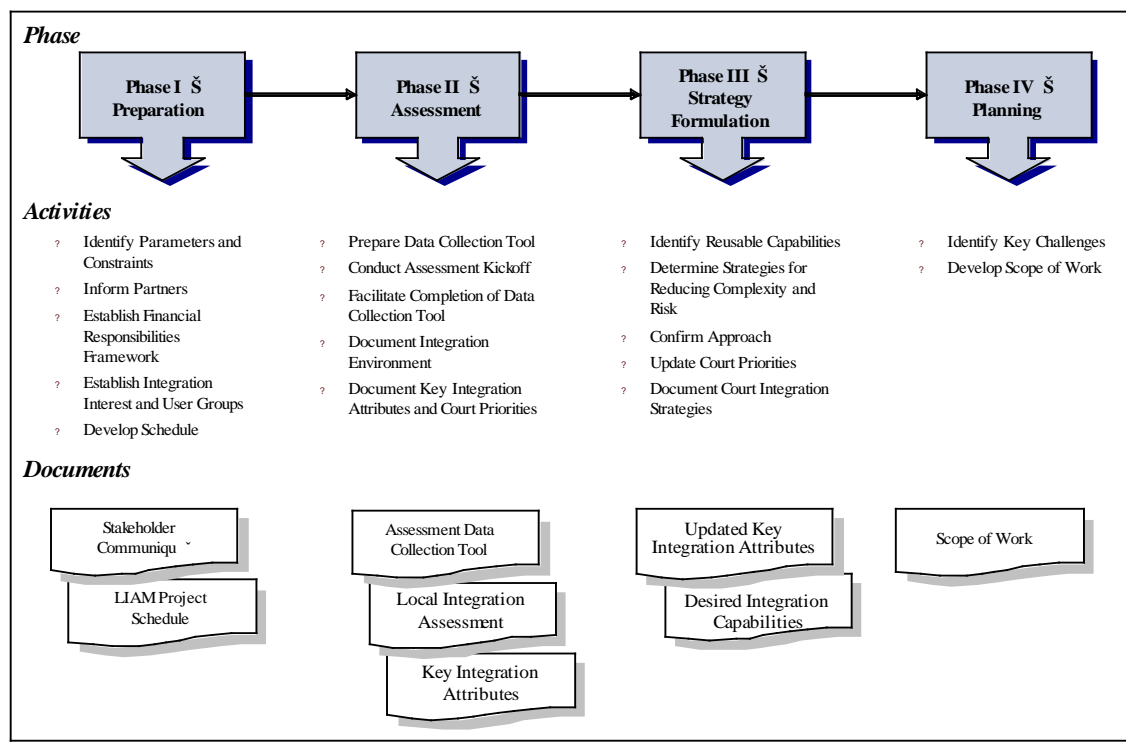


Figure 1. Implementation Phases

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](#)² (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](#)³.

1.4 Assumptions

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

² <http://niem.gov/>

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

- *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:
 - 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.

2.0 Exchange Description

This section outlines the requirements and functional design for the EFL902 Send Clerk Review Rejection Notification data exchange. A trial court uses this California judicial branch XML schema-based data exchange to send a rejection response to an inbound request received using a data exchange subject to clerk review. The rejection notification information in this data exchange is sent to the same integration partner who originated the request.

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

2.1 Capabilities

This service provides the ability for a trial court (service consumer) to **send** a rejection response to an inbound request received using a data exchange subject to clerk review. The rejection notification information in this data exchange is sent to the same integration partner (service provider) who originated the request.

2.2 Real World Effects

This service provides the ability for an integration partner (service provider) to **receive** a rejection response to a request that required clerk review by 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 clerk review; consequently, there are no business responses for this data exchange.

2.3.2 Related exchanges

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

This data exchange may be invoked as a subsequent business response to the following data exchanges:

- CAL801 Receive Calendar Event Request,
- ISS803 Receive Warrant Re-issuance/Purge Request,
- DSP816 Receive Proposed Order After Hearing (OAH),
- CAS806 Receive Public Defender Assignment Notification,
- ACC801 Receive Victim Restitution Establishment Request,
- ACC802 Receive Cash Bail Notification,
- ACC803 Receive Bail Bond Notification,

- INI802 Receive Case Initiation Filing – Felony, Misdemeanor and Infraction (FMI),
- INI803 Receive Case Initiation Filing – Juvenile,
- INI804 Receive Case Initiation Filing – Small Claims,
- INI805 Receive Case Initiation Filing – Civil Limited/Unlimited,
- INI806 Receive Case Initiation Filing – Family Law (Adoption),
- INI807 Receive Case Initiation Filing – Family Law (Marriage/Domestic Partnership with/without Child),
- INI808 Receive Case Initiation Filing – Family Law (Complaint Regarding Parental Obligation),
- INI809 Receive Case Initiation Filing – Family Law (Uniform Interstate Family Support Act (UIFSA)),
- INI810 Receive Case Initiation Filing – Family Law (Petition for Custody/Support),
- INI811 Receive Case Initiation Filing – Family Law (Domestic Violence Prevention (DVP) with/without Child),
- INI812 Receive Case Initiation Filing – Family Law (Registration of Judgment or Order),
- INI813 Receive Case Initiation Filing – Family Law (Miscellaneous),
- INI814 Receive Case Initiation Filing – No Complaint Filed (NCF),
- INI816 Receive Subsequent Case Filing,
- INI819 Receive Case Initiation Filing – Probate,
- INI820 Receive Case Initiation Filing – Mental Health.

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 onboarding documentation includes a data mapping specification based on 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. This exchange assumes that the initial filing was accepted by the CCMS. See [Section 2.3.2](#) for a list of related exchanges.

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 the “alternate” flow of information for error and exception handling scenarios. Additional diagrams and descriptions of information flows are found in the *“Data Exchange Functional Design Guidelines.”*

3.1 Primary Flow

1. CCMS sends a rejection response to an inbound request received via a data exchange subject to clerk review to the Integration Services Backbone (ISB).
2. The ISB receives the rejection response, performs schema validation, and forwards the message to the integration partner.
3. The integration partner acknowledges receipt the message.
4. The integration partner performs business validations, per the rules outlined in [Section 6.0, Additional Business Rules and Processes](#). If encountered, the integration partner sends the error response to the ISB.
5. The ISB receives the error response message, performs schema validation, and forwards the response to CCMS.
6. CCMS receives the response message and takes appropriate action.

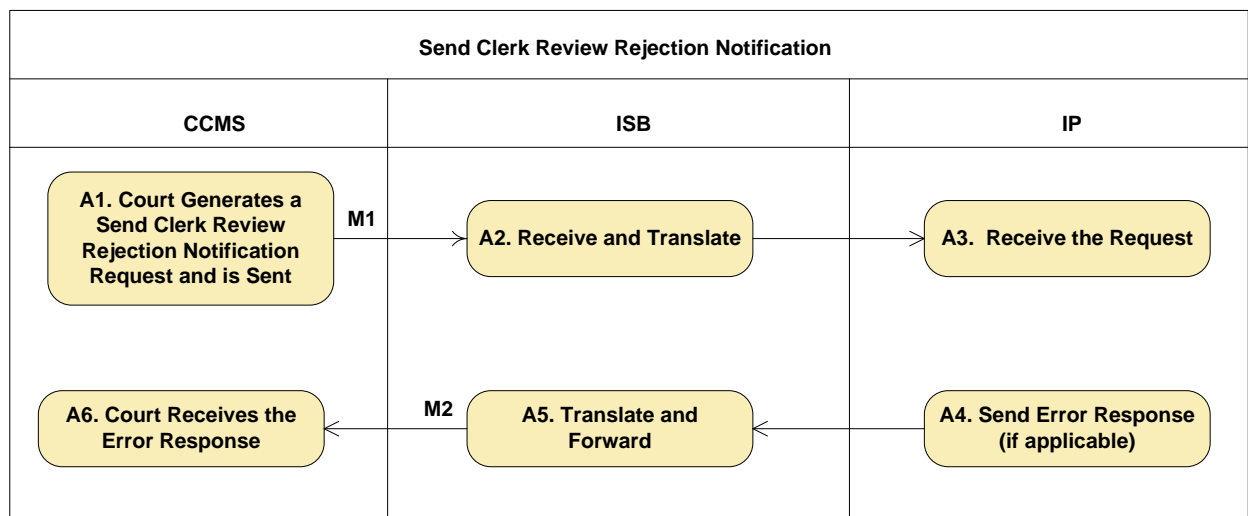


Figure 2. Court Sends Clerk Review Rejection Notification Activity Diagram

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 (Integration Partner). 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 (Integration Partner). 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 (Integration Partner) 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 message⁴ 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 rejection information – (e.g., rejection reason, rejection notice, etc.) sent by a court to an integration partner.
2. Response message
 - a. The Error Response message contains errors and error descriptions sent by the integration to the court. This message informs the court that the request was not successful and corrective action is required.

⁴ 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 clerk encounters a problem with a filing and subsequently rejects it.

- Conditions = None

4.2 *Subsequent Events*

The integration partner is notified and updates its system with the rejection information.

- Conditions = None

5.0 Data Exchange Errors and Exceptions

The document titled “*CCMS Data Exchange Errors*” contains all exchange specific errors that may occur between integration partner and CCMS. It includes three sections that list error codes, names, and descriptions for each type below.

- **Transient and Non-Transient Errors** may occur while the message is processed by the ISB.
- **Functional Errors** may occur while processing messages in the ISB or CCMS.
- **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 the onboarding documents, specifically the mapping spreadsheets, exchange schemas, and code schemas. Integration partners must rely on this information to produce and consume valid messages exchanged with CCMS.

6.1 Business Rules

Table 1. Business Rules

Referenced Element	Business Rule Description
Case Year	<ul style="list-style-type: none"> Must be in year format: YYYY Digits can be 0-9
Clerk's Comments to Submitter	<ul style="list-style-type: none"> Required when Rejection Reason is "Other" Maximum length is 255 characters
Received Date/Time	YYYY-MM-DDThh:mm:ss.sss-offset
Rejected Date/Time	YYYY-MM-DDThh:mm:ss.sss-offset
Rejection Reason	Cannot have duplicates.
Status	Must be a status of "Rejected"
Submitted Date/Time	YYYY-MM-DDThh:mm:ss.sss-offset

6.2 Allowable Values

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

6.2.1 AOC Code Values

This section provides the schema location for the allowable values and description of elements contained in this exchange. Table 2 identifies the element name as it appears in the mapping spreadsheet, and the name of the specific schema that contains the values and descriptions. All allowable value schemas are found by following this path in the exchange .zip file:

- EFL902/SchemaDefinitions/CAJUD/CommonEnumeration

Table 2. AOC Code Values

Element Name	AOC Code Schema Table Name
Request	
External Case Xref Type	ExternalCaseType.xsd This exchange only allows the following enumerated values for this element: <ul style="list-style-type: none"> Booking Number = BKNMBR CDSS = CDSSNMBR Citation Number = CTNNMBR City Attorney Case File Number = CTYATYCSFLNMBR

Element Name	AOC Code Schema Table Name
	<ul style="list-style-type: none"> Companion = CMPNAIN Consolidated Petition Number = CONSOLPETITIONNUM Criminal = 205200, CRIMINAL CWS Number = CWSNMBR District Attorney = 205201, DA DA Case File Number = DACSNMBR DCA Appeals Case Number = DCAACN DCFS Case Number = DCFSNMBR DCSS Case Number = DCSSCSNMBR DR Number = DRNMBR, DRNUM Filing Agency Case = FILEAGENCY Fingerprint Card Number = FINGPRNT Judicial District Number = JUDDISNUM Other = 205202, OTHR, OTHRNMBR Petition Number = PETITIONNUM Probation Case Number = PROCSNMBR Public Defender Case Number = PDCN Refiled Case Number = RFCASENUM Search Warrant Number = SWNUM Sheriff's ID Number = SHRFNMBR Supreme Court Appeals Case Number = SCACN Warrant Control Number = WARCONNUM Warrant Number = WRNTNMBR
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 the allowable values for the following data element within this exchange:

- Rejection Reason

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

There are no indicator elements used in this exchange.

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*.”

- No additional routing rules apply.

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.

- Starting at 8:00 a.m., a message is retransmitted every hour until 4:00 p.m. before being declared unsuccessful.
- Starting at 4:00 p.m., a message is retransmitted every hour until 8:00 a.m. 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

Acronym	Name
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

