



# Service Description Document: CCMS Data Exchange EXB801

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COURT RECEIVES EXHIBITS LIST  
NOTIFICATION  
JUNE 2011



ADMINISTRATIVE OFFICE  
OF THE COURTS

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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="#">EXB801 Data Exchange Specification</a>	Deloitte Consulting/AOC/SEARCH
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 a trial court to receive a case hearing exhibit list in electronic format; this list is then imported into CCMS.

- 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](#)<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.

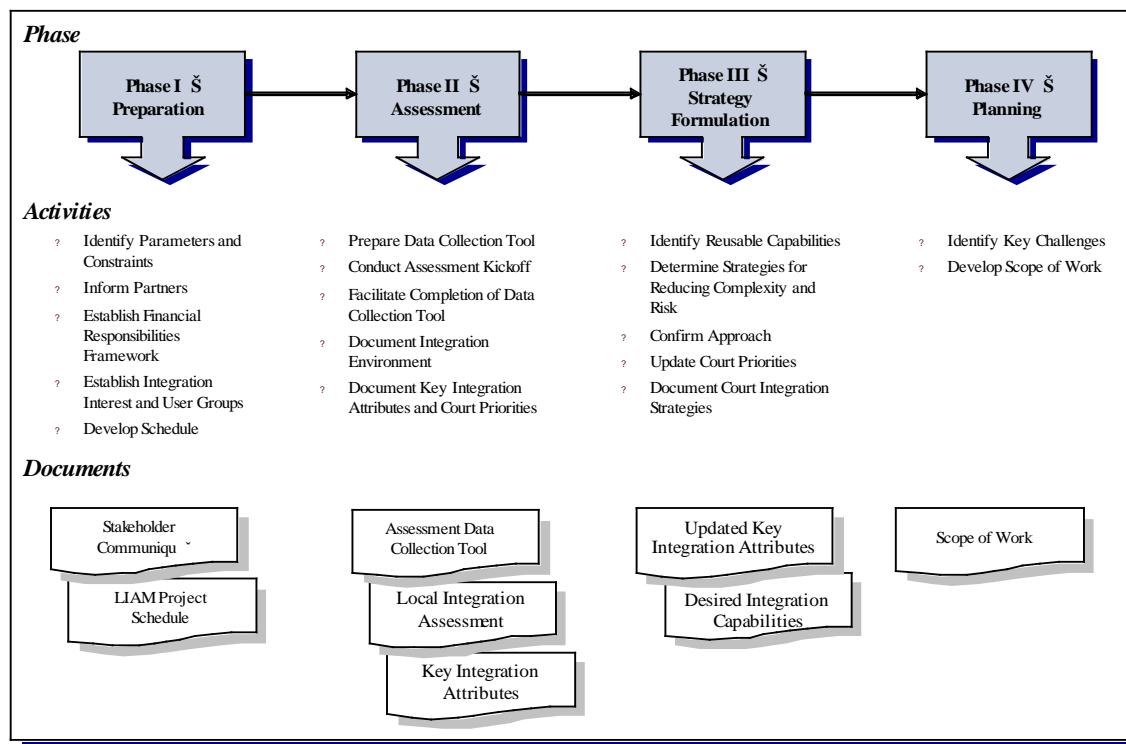


Figure 1. Implementation Phases

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

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

<sup>3</sup> <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.
  - CCMS sends data to the integration partner.

## 2.0 Exchange Description

This section outlines the requirements and functional design for the EXB801 Receive Exhibits List Notification data exchange. A trial court uses this NIEM-based data exchange to receive a case hearing exhibit list in electronic format from an integration partner; this list is then imported into CCMS. The confirmation notification information in this data exchange is sent to the same integration partner that originated the case initiation request.

This data exchange does not include a functional success response message, but 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 trial courts (service provider) to **receive** case hearing exhibit lists in electronic format from an integration partner (service consumer). Upon receipt, this electronic information is imported into CCMS.

### 2.2 Real World Effects

This service provides the ability for an integration partner (service consumer) to **send** a case hearing exhibit list to the trial courts (service provider) in electronic format. Upon receipt, the trial courts import the electronic file into CCMS. An integration partner may wish to use this exchange to:

- Submit an exhibit list prior to the case hearing on behalf of an attorney.

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

- There are no related exchanges associated.

### **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 NIEM-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 using 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 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. An integration partner sends the exhibits list notification request message to the ISB.
2. The ISB receives the notification request message, performs schema validations, translates the message to the California judicial branch XML schema and forwards the notification to CCMS.
3. CCMS acknowledges receipt of the message.
4. CCMS 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, translates the message to the NIEM schema and forwards the error response message to the integration partner.
6. The integration partner receives the error response message and takes appropriate action.

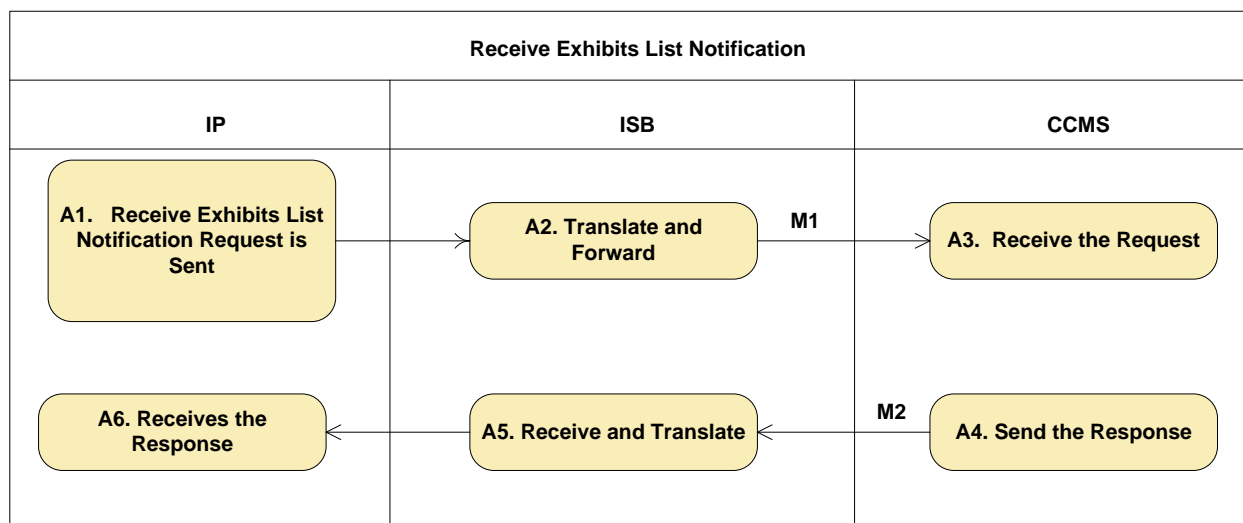


Figure 2. Court Receives Exhibits List Notification Activity Diagram

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

### **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 distinct types of messages.

1. Request message
  - a. The Request message contains the exhibit import list notification information (e.g., exhibit description, event, and case number), sent by an integration partner to a court.
2. Response message
  - a. The Error Response message contains error and error description information indicating the exhibit import list notification 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***

An integration partner sends the trial court an exhibit import list for a set case of hearings.

- Conditions = The case and hearing exist in CCMS.

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

CCMS is updated with the received exhibit list, which is imported into the system and tied to the specific case hearing on the case.

- 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 an 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 Number	Case Number specified in the file must match the case number of the event for which exhibits are being imported
Exhibit Number	<ul style="list-style-type: none"> <li>• Must be unique for the event for which the exhibits are being imported</li> <li>• Exhibit Number length must not exceed 10 characters</li> <li>• Exhibit Number is alphanumeric</li> </ul>
Exhibit Type	<p>Must be one of the following Exhibit Types:</p> <ul style="list-style-type: none"> <li>• Ammunition</li> <li>• Audio/Video Media</li> <li>• Biological Samples</li> <li>• Board</li> <li>• Bulky</li> <li>• Charts/Diagrams</li> <li>• Clothing</li> <li>• Controlled Substance</li> <li>• Currency</li> <li>• Documentary</li> <li>• Drug Paraphernalia</li> <li>• Electronic Device</li> <li>• Electronic Media</li> <li>• Firearms</li> <li>• General</li> <li>• Hazardous Waste</li> <li>• Knife</li> <li>• Medical Images</li> <li>• Miscellaneous Weapon</li> <li>• Narcotics</li> <li>• Other</li> <li>• Photograph</li> <li>• Tools</li> <li>• Valuables</li> <li>• Weapons</li> </ul>
External Case Xref Number	Digits can be 0-9
PDF Document	PDF attachment only
Submitted By – Role	<ul style="list-style-type: none"> <li>• Role can be any role that the entered participant has on the case</li> <li>• Submitted By – Role associated with an exhibit must exactly match case related information existing in the system</li> <li>• No abbreviations can be used</li> </ul>

## 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

Table 2 contains element names and the corresponding AOC Code Schema Table name.

- The AOC Code Schema contains the actual coded values and descriptions required for each element used in this exchange.
- The AOC Code Schema is provided in the exchange schema file under the AOC Code folder.

Integration partners should refer to the AOC Code Schema for all element allowable values listed in this table.

As a reference, AOC created the “*AOC Codes*” document that lists all AOC Code tables, values, and descriptions in alphabetical order. This document reflects the current values (i.e., at the time of this writing) and should not be used as the authoritative source for validation purposes.

Table 2. AOC Code Values

Element Name	AOC Code Schema Table Name
Error Response	
Error Code	See “ <i>CCMS Data Exchange Errors</i> ” for a list of all errors.
Error Description	See “ <i>CCMS Data Exchange Errors</i> ” for a list of all 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 elements within this exchange:

- There are no court configurable data elements.

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 element allowable values associated with 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 exchange. Routing rules are based on the content contained in the Common Service Header, 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.

- Exhibit List Notification messages are retransmitted by the ISB every 10 minutes up to 3 times, before being declared unsuccessful and returned to CCMS.

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. *List of 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

