



# Service Description Document: CCMS Data Exchange PF903

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COURT SENDS STATE BAR NUMBER  
VERIFICATION  
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ADMINISTRATIVE OFFICE  
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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="#">Executive Summary</a>	Deloitte Consulting
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="#">PF903 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 send all attorney records to an Electronic filing service provider or the California State Bar Association.

Integration partners most likely to use this data exchange include:

- California State Bar Association
- Electronic filing service provider

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 and Web Service Description Language (WSDL) files, and the “*CCMS Data Exchange: Common Technical Requirements*,” and should be reviewed along with these documents when preparing for deployment. The schemas, WSDLs, and “*Common Technical Requirements*” documentation provide specific technical details regarding message structures and implementation requirements, including infrastructure, security, and deployment information. Collectively, these documents provide all information required for an integration partner to send and receive data for this exchange with CCMS.

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 in this 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 Service Description Document is based on the Global Justice Reference Architecture’s Service Specifications Guidelines. More information about this initiative is available at <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 to provide both integration partners and the courts with necessary information prior to implementation activities. Figure 1 describes this process in more detail.

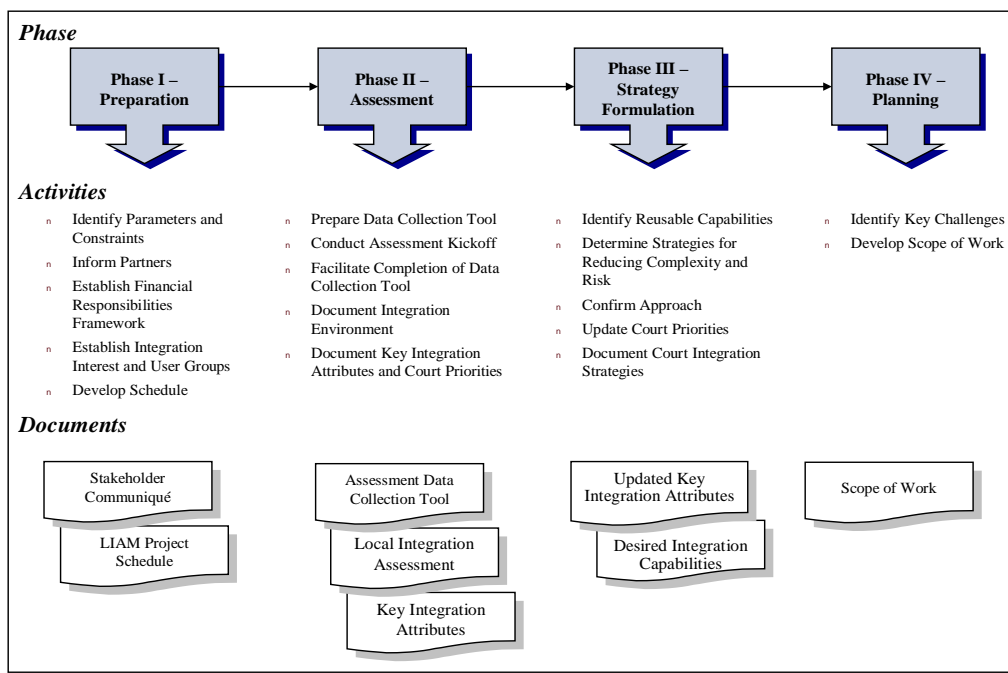


Figure 1. Implementation Phases

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>1</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>2</sup>.

## **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

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<sup>1</sup> <http://niem.gov/>

<sup>2</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.

## 2.0 Exchange Description

This section outlines the requirements and functional design for the PF903 Court Sends State Bar Number Verification data exchange. A trial court uses this California judicial branch XML schema-based data exchange to send attorney records to the State Bar Association or an Electronic Filing Service Provider.

On success, the response to this data exchange is returned to the integration partner indicating whether any attorney records exist matching the state bar numbers provided. If attorney records do exist, basic attorney status information (state bar number, status, and status change date) is returned. On error, the response to this data exchange is returned to the integration partner containing a rejection indicator and reason.

### 2.1 Capabilities

This service provides the ability for a trial court (service consumer) to **send** all requested attorney records to an integration partner (service provider).

### 2.2 Real World Effects

This service provides the ability for integration partner (service provider) to **receive** attorney records from a trial court (service consumer) for any attorney records that match existing state bar numbers provided. If the attorney exists, basic attorney status information, such as state bar number, status, and status change date are returned to the integration partner.

### 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. The following form is related to this exchange:

- 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 law enforcement agency 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 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 the state bar number verification information to the ISB.
2. The ISB receives the information, performs schema validation, and forwards to the integration partner.
3. The integration partner receives the attorney information and performs business validations, per the rules defined in [Section 6.0, Additional Business Rules and Processes](#).
4. The integration partner sends a success or failure response to the ISB.
5. The ISB receives the response message, performs schema validation, and forwards the response to CCMS.
6. CCMS receives the response.

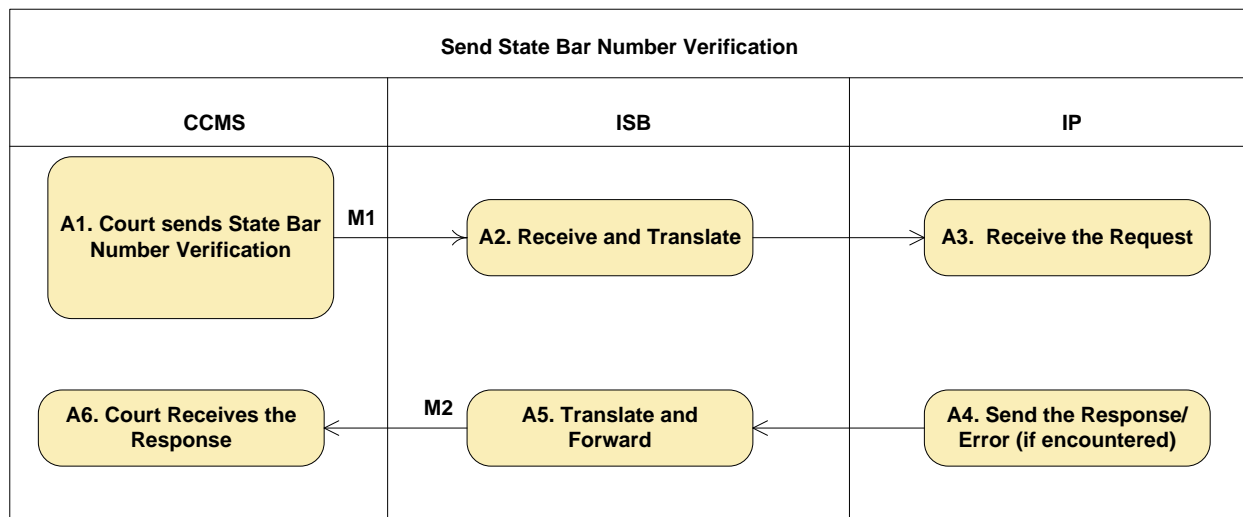


Figure 2. Court Sends State Bar Number Verification Activity Diagram

## 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 message<sup>3</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 containing the attorney information (e.g., state bar number, attorney name) sent by an integration partner to a court.
2. Response messages
  - a. The Success Response Message containing the attorney information sent by the court to the integration partner.
  - b. The Error Response message containing one or more errors and their description sent by the court to the integration partner. This message informs the integration partner that the request was not successful.

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<sup>3</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 the attorney information to the integration partner

- Conditions = None

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

The trial court stores the received state bar status and corresponding date.

- 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

There are no business rules in this data exchange.

### 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 the elements by type with specific instructions for each type.

#### 6.2.1 AOC code values

Table 1. AOC Code Values

Element Name	AOC Code Schema Table Name
Error Response	
Error Code	See “CCMS Data Exchange Errors” for a list of all errors.
Error Description	See “CCMS Data Exchange Errors” for a list of all 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 practice, many of these values are standard across courts, but integration partners should contact the local court administrator for a definitive and 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. At the time of this writing, the Court Policy File for each local court is under development and will be available prior to CCMS implementation. Integration partners can learn more about the Court Policy File by referring to the “*Court Policy File Overview*” document.

#### 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 ‘true’ or ‘false; or ‘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.

These schemas are the authoritative source for the indicator allowable values:

- Deceased Indicator (Success Response)
- Disbarred Indicator (Success Response)
- Inactive Indicator (Success Response)
- Status Inactive Indicator (Success Response)
- Suspended Indicator (Success Response)

## **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*.” 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**

All messages sent to the ISB are processed synchronously in real time. This means messages received by the ISB are validated, translated to the appropriate format, and immediately routed to the destination.

- This transaction is retransmitted every hour until 8:00 a.m. before being declared an unsuccessful transmission.

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





## Appendix A. Acronyms

Table 2. *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 Finds
FTA	Failure To Appear
IPs	Integration Partners
ISB	Integration 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

