



Service Description Document: CCMS Data Exchange PHX901

COURT SENDS DISBURSEMENT REQUEST
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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

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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	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	PHX901 Data Exchange Specification	Deloitte Consulting/AOC/SEARCH
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

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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 California's Court Case Management System (CCMS). This document details the exchange content requirements and related business requirements needed for the trial court to send a disbursement request to an integration partner such as the

Integration partners most likely to use this data exchange include:

- County auditor
- Trial Court Administrative Services Division

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.

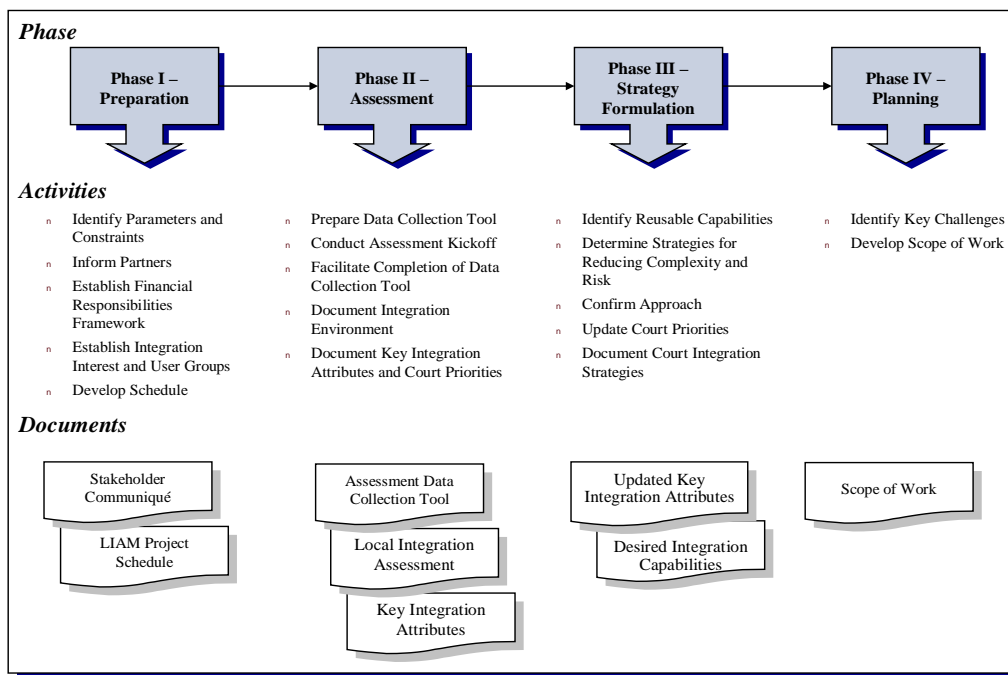


Figure 1. Implementation Phases

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](#)¹ (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](#)².

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

¹ <http://niem.gov/>

² <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 PHX901 Send Disbursement Request data exchange. A trial court uses this California judicial branch XML schema-based data exchange to send requests to the Trial Court Administrative Services Division, who then disburses the appropriate funds to the applicable agencies, or for the trial courts to send requests to print checks to the County Auditor.

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

2.1 Capabilities

This service allows a trial courts (service consumer) to **send** requests to the Trial Court Administrative Services Division (service provider), who then distributes the appropriate funds to the applicable agencies, or for the trial courts (service consumer) to **send** requests to print checks to the County Auditor (service provider).

2.2 Real World Effects

This service provides the ability for the Trial Court Administrative Services Division or the County Auditor (service providers) to **receive** disbursement requests from the trial courts (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 identify associated exchanges integration partners may use to modify, update, or complete a correlated business process.

- There are no related exchanges.

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 disbursement request to the ISB.
2. The ISB receives the disbursement update confirmation notification request message, performs schema validation, and forwards to the integration partner.
3. The integration partner acknowledges receipt of the message.
4. The integration partner performs business validations, per the rules defined 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 error response message to CCMS.
6. CCMS receives the error response message and takes appropriate action.

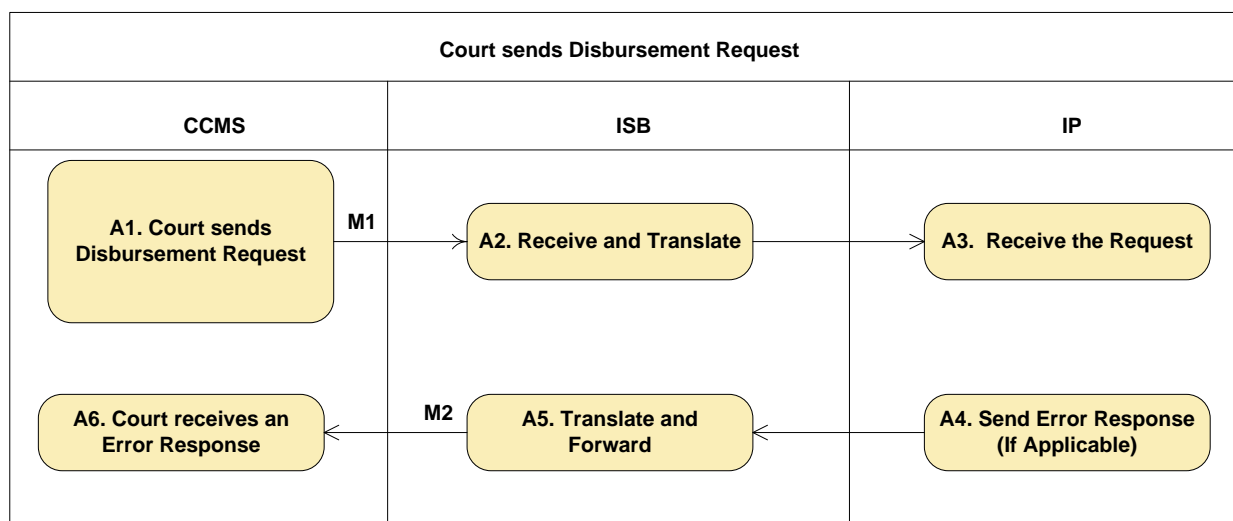


Figure 2. Court Sends Disbursement Request Activity Diagram

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 the failure reason) to the source system (CCMS system.)

- 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 the 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 the failure reason) to the source system (CCMS.)

3.3 Messages

A data exchange message³ 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 disbursement request (e.g., CCMS case number, participant, amount) sent by a court to an integration partner.
2. Response message
 - a. Error Response message containing one or more errors and their description, sent by the integration partner to the trial court. This message informs the court that the send disbursement request filing was not successful and corrective action is required.

³ 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

The trial court sends the disbursement requests to the integration partner.

- Conditions = None

4.2 Subsequent Events

The integration partner is notified and updates its system with the disbursement requests.

- 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
Account Number	Required for ACH disbursements
Address Type	Required for disbursements
Bank Routing Number	Required for ACH disbursements
Case Title	Required for case-related trusts
City	Required for disbursements
Country	Required for disbursements
Court Code	A unique number from 1-58
First Name	Court. Transaction. Recipient. Person <ul style="list-style-type: none"> Required by screen
Last Name	Court. Transaction. Recipient. Person <ul style="list-style-type: none"> Required if participant is not an Entity/Organization Required for disbursements
Middle name	Court. Transaction. Recipient. Person <ul style="list-style-type: none"> Required by screen
Organization Name	Court. Transaction. Recipient. Organization <ul style="list-style-type: none"> Required if participant last name not provided Only send Name on Case
	Court. Transaction. Trust. Participant. Organization <ul style="list-style-type: none"> Required if participant is not a Person
State	Required for disbursements
Street Name	Required for disbursements
Street Number	Required for disbursements
Transaction Type	Allowable values are: <ul style="list-style-type: none"> Distribution = DISB Non-Cash Transfer = NCT
Year	Must be in YYYY format
Zip Code	Required for disbursements

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:

- PHX901/SchemaDefinitions/CCMS-V4/CommonEnumeration

Table 2. AOC Code Values

Element Name	Schema Name
Request	
Address Type	AddressType.xsd
Country	Country.xsd
Disbursement Method	DisbursementMethod.xsd
Participant Name Type	ParticipantType.xsd
State	State.xsd
Street Direction	StreetDirection.xsd
Street Type	StreetType.xsd
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 '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.

This schema is the authoritative source for the indicator allowable values:

- Legacy Case Indicator

6.3 Business Processes

The trial court can either send a request to disburse funds to AOC finance or send a request to print checks to the County Auditor. These requests are sent in a batch on a nightly basis.

AOC Finance is responsible for disbursing trust funds, court transfers, etc., as appropriate. The trial court sends these requests to AOC Finance. AOC Finance then distributes the appropriate funds to the applicable agencies.

The County Auditor is responsible for printing and mailing checks for the trial courts as well as other county agencies. Ventura courts, for example, will deposit cash with security company (BRINKS) and accounting clerk delivers the checks to the county auditor for criminal, traffic, or juvenile delinquency cases. Sacramento deposits cash and checks directly with LOOMIS for Traffic, Juvenile Delinquency, Criminal. Other trial courts may deposit these funds either into local county auditor bank accounts or into the state bank account, by using CARS/PHOENIX. Also, some county courts have their own bank accounts.

The process by which the trial courts interact with county auditor is that the trial courts will collect funds, deposit these funds into the county auditor bank account, and then send information to county auditor so that checks can be mailed to the appropriate case participants. Trial courts require county auditor to print checks in one of three scenarios:

- Cash Bail Refund
- Victim Restitution
- Overage Refund

Docket codes entered on the case are used to identify which cases have had their cash bail exonerated. For victim restitution and overage refunds, money is typically collected by the court clerk and noted manually within the trial court case management system. An automated process within the trial court case management system then distributes these funds into their respective fund buckets, e.g. victim restitution, overage refunds, local police departments, etc.

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 ID
- Reports to AOC

7.2 Message Interactions

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

- Disbursement Request messages sent by the ISB will be retransmitted every hour until 8:00 a.m. before being declared unsuccessful and returned to CCMS.

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 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

