



Service Description Document: CCMS Data Exchange PHX904

COURT SENDS DAILY RECEIPT DEPOSIT
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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	Executive Summary	Deloitte Consulting
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	PHX904 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 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 daily receipts deposit notifications to integration partners such as the Trial Court Administrative Services Division.

Integration partners most likely to use this data exchange include:

- 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>.

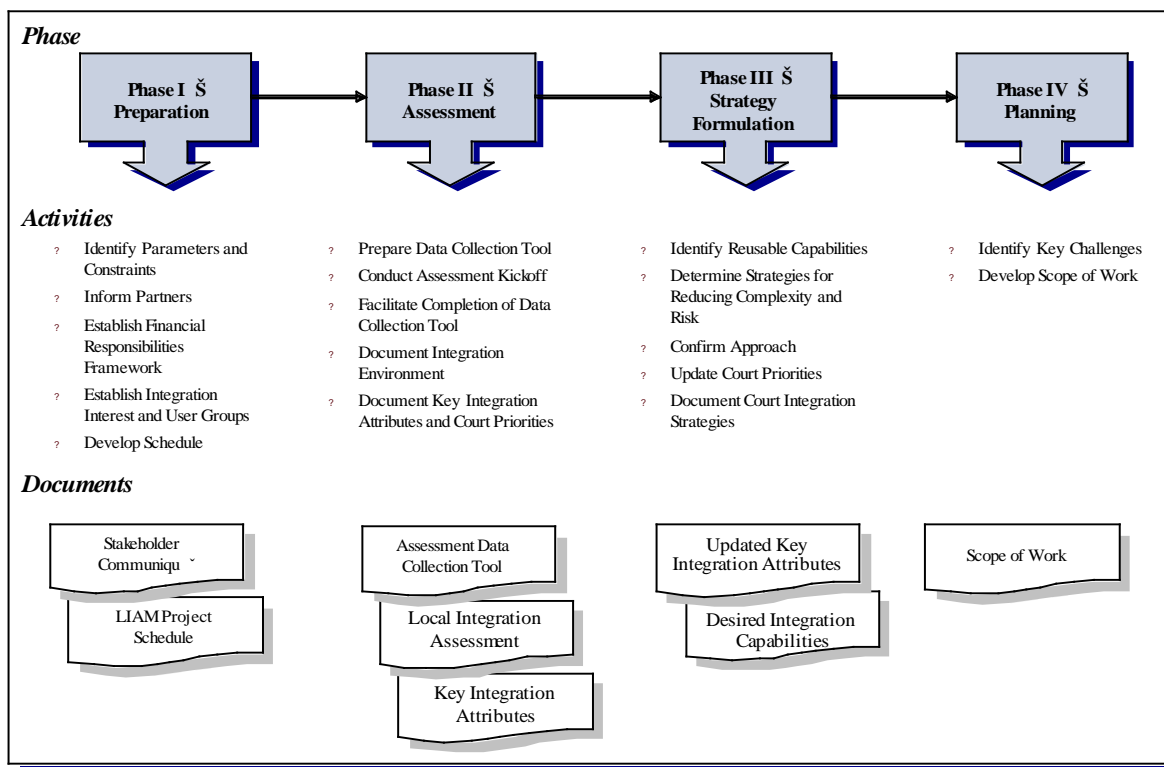


Figure 1. Implementation Phases

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
- *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.

¹ <http://niem.gov/>

² <http://www.courts.ca.gov/partners/integration.htm>

- 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 PHX904 Send Daily Receipts Deposit Notification data exchange. A trial court uses this California judicial branch XML schema-based exchange to successfully send payment files to the integration partner, Phoenix Financial System. Upon the collection of funds that the trial court will deposit with Phoenix Financial System, the trial courts should notify Phoenix Financial System as to the accepted payments. Additionally, this exchange includes reversals and voids recorded by the trial courts, e.g., if the trial courts create a payment or reverse a payment due (e.g. the return of an NSF check), Phoenix Financial System should be notified.

There are two types of responses for this exchange—success or error. The success response to this data exchange is returned from the integration partner indicating whether the daily receipts deposit notification has been accepted or rejected. If the notification is accepted, daily receipts deposit information is returned, (e.g., unique document ID for each payment receipt). The error response to this exchange is returned from the integration partner indicating an error was encountered and includes an error code and description.

2.1 Capabilities

This service allows a trial court (service consumer) with the ability to **send** the Phoenix Financial System (service provider) electronic deposits, reversals, and voids.

2.2 Real World Effect

This service allows the Phoenix Financial System (service provider) to **receive** electronic financial transaction and related information from the trial court (service consumer). These transactions include the following types:

- Payments
 - UCF
 - F&Fs (Fines and Fees)
 - Civil Trust
 - Criminal Trust
- Reversals
 - NSF
 - Void

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 for this data exchange.

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 daily receipts deposit information to the ISB.
2. The ISB receives the message, performs schema validation, and forwards the message to Phoenix Financial System (the integration partner).
3. Phoenix Financial System receives the message and performs business validations, per the rules defined in [Section 6.0, Additional Business Rules and Processes](#).
4. Phoenix Financial System sends the 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 and takes appropriate action.

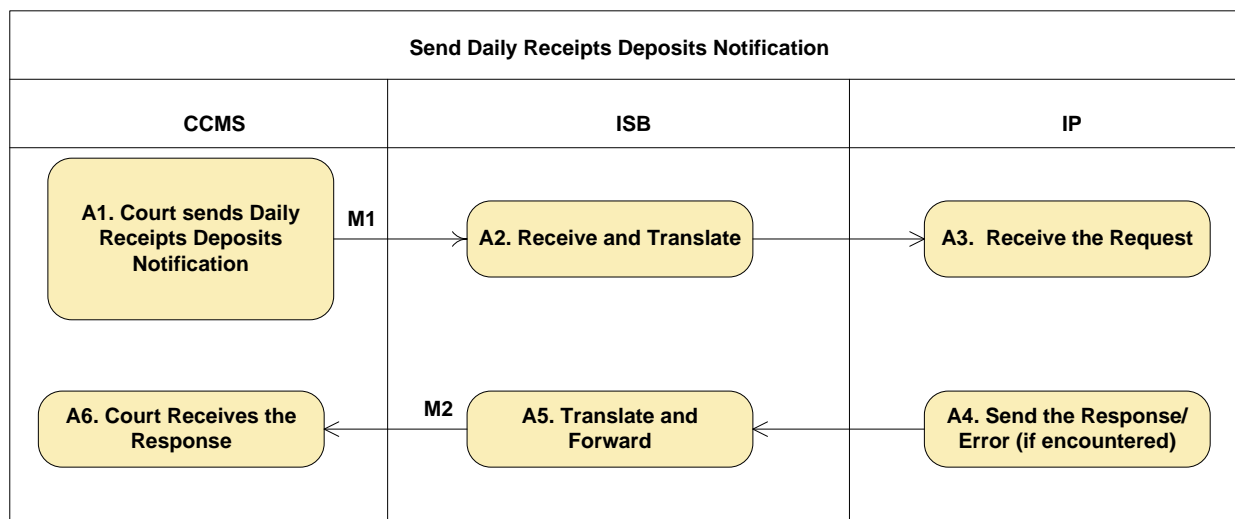


Figure 2. Court Sends Daily Receipts Deposit Notification

3.2 Alternate Flow

This exchange includes three possible alternate flows, depending upon the nature of the problem. The three scenarios are described below:

- The ISB returned a positive acknowledgement to the source system (CCMS), and an exception occurs within the ISB, (e.g., message out of sequence) before the request is

forwarded to the target system (Phoenix). 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 (Phoenix). 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 (Phoenix) and receives a negative acknowledgement, (e.g., syntactic data error) from the target system (Phoenix). The ISB handles the exception and sends a response (containing 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 contains the daily receipt information, (e.g., county court code, payment fund, payment amount)
2. Response messages
 - a. The Success Response Message contains the daily receipt deposit response, (e.g., payment identifier, document id) sent by the court to the integration partner.
 - b. The Error Response Message contains error and error description information. This message indicates the daily receipt request message 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

CCMS processes the trial court daily fund receipts batch job.

- Conditions = None

4.2 Subsequent Events

Phoenix Financial System updates their system with the daily receipt information and returns confirmation or error notifications.

- 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
Authorization Number	Applicable only to credit card transactions
Cashier Court Code	<ul style="list-style-type: none"> Unique identifier for the court; must be a number 1-58. Court in which the fee was paid
Fee Type	Allowable values are: <ul style="list-style-type: none"> Fee Type 1 – First paper in Summary Dissolution – The name of the first account being reported. Fee Type 2 – Motion or Stipulation for Continuance of Trial – The name of the second account being reported.
Interest Bearing Trust Indicator	Applicable only to trust transactions
Merchant Identification	Applicable only to credit card transactions
Original Transaction Number	Applicable only to voided payments
Organization Name	Required if participant is not a Person

6.2 Allowable Values

This section provides additional information regarding individual allowable values for elements contained in this exchange. 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:

- PHX904/SchemaDefinitions/CCMS-V4/CommonEnumeration

Table 2. AOC Code Values

Element Name	Schema Name
Request	
Address Type	AddressType.xsd
Country	Country.xsd

Element Name	Schema Name
Fee Category	FeeCategory.xsd
Participant Name Type	ParticipantType.xsd
Phone Type	PhoneType.xsd
State	State.xsd
Street Direction	StreetDirection.xsd
Street Type	StreetType.xsd
Transaction Type	PaymentTransactionType.xsd
Error Message	
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.

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

- International Phone Number Indicator
- Legacy Case Indicator
- Primary Indicator

6.3 Business Processes

Table 3. Business Processes

#	Business Process	Description
1	Court Batch Submission	Each court submits receipts to Phoenix Financial System in a single batch submission. Each court is encouraged to schedule the batch transaction after close of business.

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

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

- Daily Receipt Deposit Notification 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 additional description of the message interactions with the ISB and CCMS.

Appendix A. Acronyms

Table 4. 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

