



Service Description Document: CCMS Data Exchange CAS801

COURT RECEIVES CASE SUMMARY
QUERY
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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	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	CAS801 Data Exchange Specification	Deloitte Consulting/AOC/SEARCH
1.0.0	June 2011	Service Description Document: CCMS Data Exchange APP801Receive Case Search Query	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

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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 successfully receive a request for case summary information sent from an integration partner.

Integration partners most likely to use this data exchange include:

- Attorney General
- Electronic filing service providers
- Law enforcement agencies/sheriffs

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.

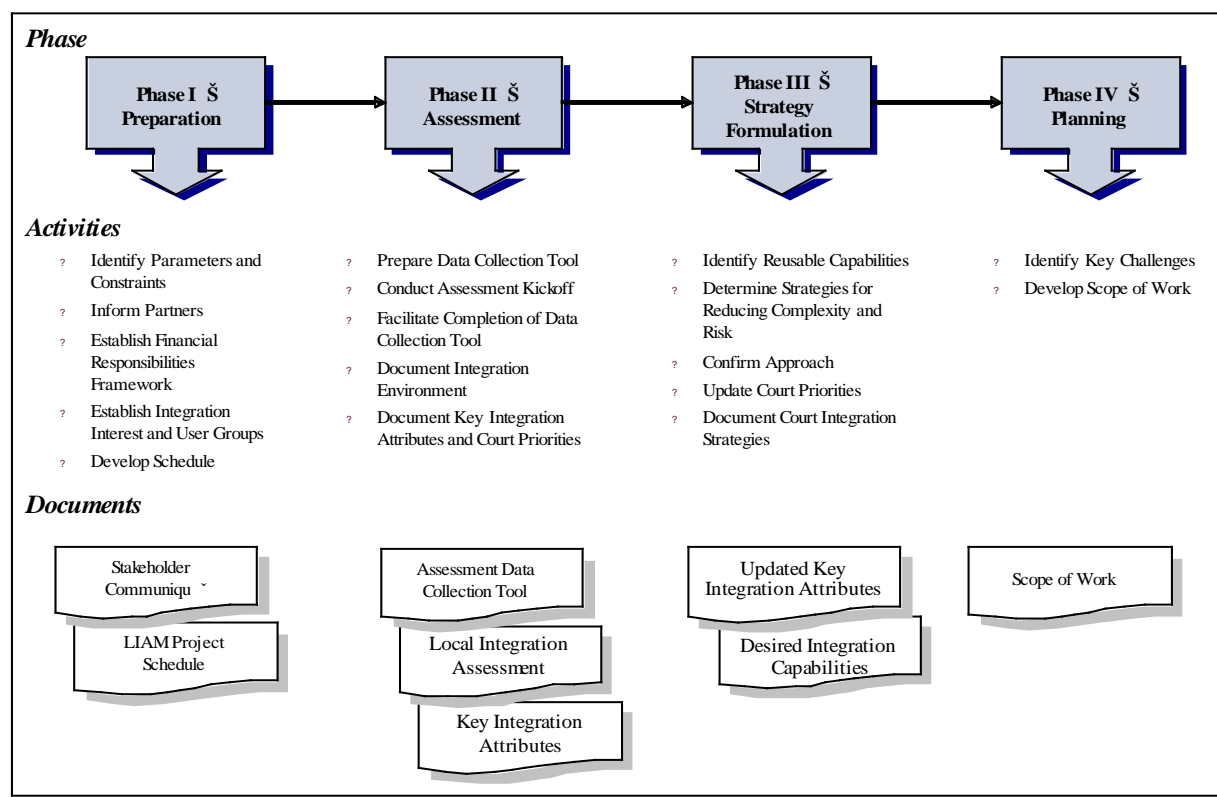


Figure 1. Implementation Phases

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

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

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 CAS801 Receive Case Summary Query data exchange. A trial court uses this NIEM-based data exchange to receive a request for case summary information from an integration partner.

After the exchange has been successfully received and processed by CCMS, a response to this data exchange will be returned to the requesting integration partner. If the exchange is not successfully processed by CCMS, the response, which contains a rejection indicator and reason, is returned to the integration partner.

2.1 Capabilities

This service provides a trial court (service provider) with the ability to **receive** a request for case summary information (e.g., CCMS case number, participant, and event information) from an integration partner (service consumer).

2.2 Real World Effects

This service provides an integration partner (service consumer) with the ability to **send** a request for case summary information (e.g., CCMS case number, participant, and event information) to the court (service provider).

An integration partner can use this data exchange to know the:

- Next scheduled hearing for a specific case
- Current status for a specific case

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. The CCMS-V4-APP801Receive Case Search Query data exchange may precede this data exchange in order to determine if a case or person exists in CCMS.

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:

This data exchange has the following related form:

- AT-135 Writ of Attachment

2.4 Assumptions and Dependencies

The data exchange specification package includes a data mapping specification based on the NIEM- and 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.

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 case summary query request message information to the ISB.
2. The ISB receives the case summary message, performs schema validation, facilitates data mapping to the California judicial branch XML schema standard, and forwards the request message to CCMS.
3. The CCMS receives the request message and performs business validations on the data exchange per the rules outlined in [Section 6.0, Additional Business Rule and Processes](#).
4. The CCMS sends the response message to the ISB.
5. The ISB receives the response message, performs schema validation, facilitates data mapping to the NIEM standard, and forwards the response message to the integration partner.
6. The integration partner receives the response message and takes the appropriate action.

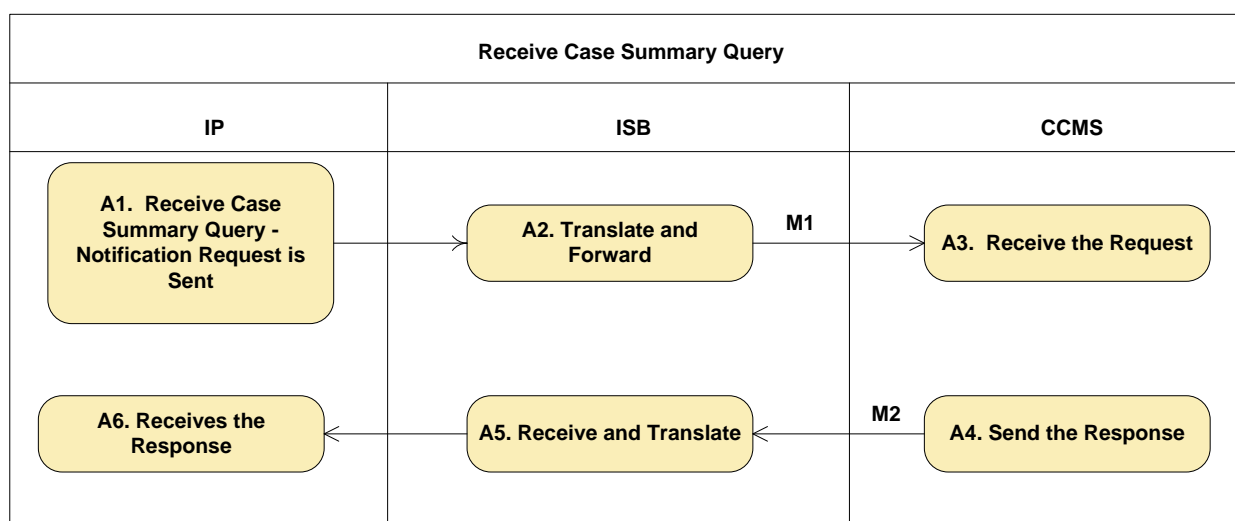


Figure 2. Court Receives Case Summary Query Activity Diagram

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 partners), 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 failure reason) to the source system (integration partners).
- The ISB returned a positive acknowledgement to the source system (integration partners), 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 failure reason) to the source system (integration partners).
- The ISB forwards the request to the target system (CCMS) and receives a negative acknowledgement, (e.g., syntactic data error) from the target system (CCMS). The ISB handles the exception and sends a response (containing failure reason) to the source system (integration partners).

3.3 Messages

A data exchange message³ is a complete package of information sent between the trial courts and integration partner. This exchange includes two types of messages.

1. Request message
 - a. The Request message contains case summary query parameters, (e.g. CCMS case number and participant) sent from an integration partner to a trial court.
2. Response messages
 - a. The Success Response message contains the case summary query response (CCMS case number, participant, event, or rejection indicator and reason) sent by the trial court to the integration partner.
 - b. The Error Response message contains error and error description information indicating the 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

The integration partner sends the trial court a case summary request.

- Conditions = None

4.2 Subsequent Events

CCMS is queried for the received case summary request.

- Conditions = A valid CCMS Case Number and CCMS ID must be provided.

The integration partner is notified and updates its system with the case summary details.

- Conditions = A valid CCMS Case Number and CCMS ID must be provided.

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	One of three possible case numbers (Case Number, External Case Number, External Case Xref Number) that may be sent; only one case number per case is allowed.
External Case Number	One of three possible case numbers (Case Number, External Case Number, External Case Xref Number) that may be sent; only one case number per case is allowed.
External Case Xref Number	One of three possible case numbers (Case Number, External Case Number, External Case Xref Number) that may be sent; only one case number per case is allowed.
Last Name	Required when a participant is not an Entity/Organization
Organization Name	Required when a participant is not a Person
Year	Must be in YYYY format

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 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
Request	
External Case Xref Type	ExternalCaseCodeSimpleType – this exchange only allows the following enumerated values for this element: <ul style="list-style-type: none"> • Booking Number = BKGNUMBR, BKNUMBR, BOOKNUM • Citation Number = CITNUM • DA Case File Number = DACSNUMBR, DCFNUM • DR Number = DRNUMBR, DRNUM • Filing Agency Case = FILEAGENCY • Fingerprint Card Number = FINGPRNT • Probation Case Number = PCNUM, PROCSNUMBR • Public Defender Case Number = PDCN • Warrant Control Number = WARCONNUM, WRNTCNR
Participant Type	ParticipantCodeSimpleType
Success Response	
Address Type	AddressCodeSimpleType
Case Category	CaseCategoryCodeSimpleType
Case Status	CaseStatusCodeSimpleType
Case Type	CaseCodeSimpleType
Charge Degree	ChargeDegreeCodeSimpleType
Count Type	CountCodeSimpleType
Country	CountryCodeSimpleType
Disposition Type	DispositionCodeSimpleType
External Case Xref Type	ExternalCaseCodeSimpleType – this exchange only allows the following enumerated values for this element: <ul style="list-style-type: none"> • Booking Number = BKNUMBR • Citation Number = CTNNUMBR • DA Case File Number = DACSNUMBR • DR Number = DRNUM • Filing Agency Case = FILEAGENCY • Fingerprint Card Number = FINGPRNT • Probation Case Number = PROCSNUMBR • Public Defender Case Number = PDCN • Trial Court Case Number = TCCN • Warrant Control Number = WARCONNUM
ID Country	CountryCodeSimpleType
ID State	StateCodeSimpleType

Element Name	AOC Code Schema Table Name
ID Type	IDCodeSimpleType – this exchange only allows the following enumerated values for this element: <ul style="list-style-type: none"> • AFIS Number = AFISNUM • Badge Number = BNUM • Bar Number = BARNUM • California State ID = CALSTATEID • CII/SID Number = CIINUM • County ID Number = COUNTYID • DA Number = DANUM • Death Certificate Number = DCNUM • Driver's License Number = DL • Employee ID Number = EMPIDNUM • FBI Number = FBINUM • LEA Number = LEANUM • ORI Number = ORINUM • Sheriff's Bureau of Identification Number = SBID
Offense Level	OffenseLevelCodeSimpleType
Participant Case Name Type	NameCodeSimpleType
Participant Role	ParticipantRoleCodeSimpleType
Participant Type	ParticipantCodeSimpleType
Phone Type	PhoneCodeSimpleType
Plea	PleaCodeSimpleType
Sentence Count Type	CountCodeSimpleType
Sentence Status	SentenceStatusCodeSimpleType
Sentence Subtype	SentenceSubtypeCodeSimpleType
Sentence Type	SentenceCodeSimpleType
State	StateCodeSimpleType
Street Direction	StreetDirectionCodeSimpleType
Street Type	StreetCodeSimpleType
Term Units	SentTermUnitCodeSimpleType
Traffic School Status	TrafficSchoolStatusCodeSimpleType
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 the allowable values for the following data elements within this exchange:

- Case Track
- Court Location
- Traffic School Status

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 ‘1’ = true or ‘0’ = false. 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:

- Appearance Date Extension Eligible Indicator
- ID Commercial License Indicator
- Inactive Indicator
- International Indicator
- Legacy Case Indicator
- Mandatory Appearance Indicator
- Primary Indicator
- Traffic School Eligible Indicator

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.

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
CCPOR	California Courts Protective Order Registry
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

