



Service Description Document: CCMS Data Exchange CAS806

COURT RECEIVES PUBLIC DEFENDER
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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	CAS806 Data Exchange Specification	Deloitte Consulting/AOC/SEARCH
1.0.0	June 2011	Service Description Document: CCMS Data Exchange EFL902 Court Sends Clerk Review Rejection Notification	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange CAS908 Court Sends Public Defender Assignment Confirmation Notification	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Exchange CAS904 Court Sends Public Defender Case Assignment Notification	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 necessary for a trial court to receive an updated attorney assignment from an integration partner when the public defender or alternate public defender assigns or removes an attorney from the defendant's case.

Integration partners who are most likely to use this data exchange include:

- California Department of Revenue and Recovery
- County jails
- Public defender/alternate public defender/entity panels

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](#)¹.

¹ <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.

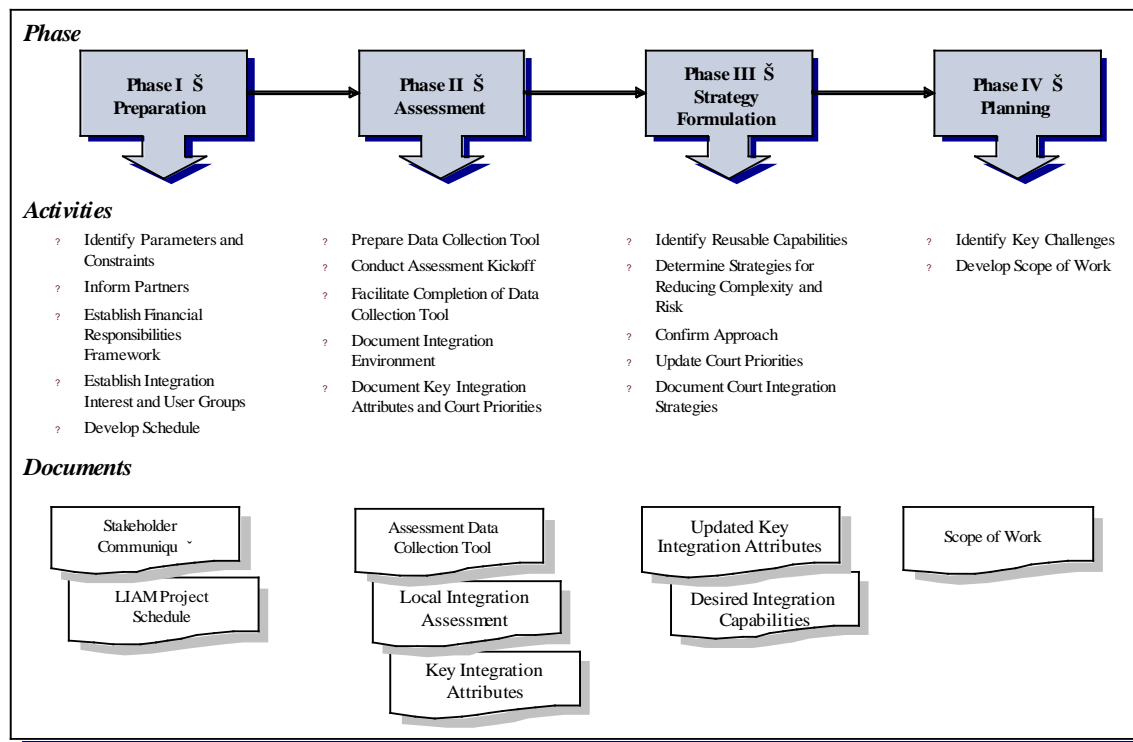


Figure 1. Implementation Phases

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](#)² (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](#)³.

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
- *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:

² <http://niem.gov/>

³ <http://www.courts.ca.gov/partners/482.htm>

- 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 CAS806 Receive Public Defender Assignment Notification data exchange. A trial court uses this NIEM-based data exchange to receive an updated attorney assignment from an integration partner when the public defender or alternate public defender assigns or removes an attorney from the defendant's case.

The response to this data exchange indicates successful delivery of the incoming request to the CCMS system or an error message if an error is encountered. In case of successful delivery, the entire set of request data is echoed back to the integration partner along with a confirmation message. In case of error, an error message is sent back with a description.

This data exchange, like all exchanges subject to a court clerk review, uses several Common Element Blocks (CEBs). A CEB is a set of related data elements that appear in multiple court data exchanges. CEBs allow court and integration partner development staff to define a business concept once, (e.g., case filing, case participant, payment, and scheduling information) and reuse these groups across exchanges rather than listing them individually for each exchange. Adopting this CEB approach and emphasizing reuse increases efficiencies by reducing the amount of redundant programming during implementation.

2.1 Capabilities

This service provides the trial court (service provider) with the ability to **receive** an updated public defender assignment notification 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 public defender assignment notification to a trial court (service provider) when the integration partner:

- Assigns a new public defender or alternate public defender to a case
- Removes or end-dates a public defender or alternate public defender from a 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. One of two exchanges handles the subsequent business response to this data exchange:

- The CCMS-V4-EFL902 Send Clerk Review Rejection Notification data exchange, which contains rejection information in response to the court clerk's review of the initial request.
- The CCMS-V4-CAS908 Send Public Defender Assignment Confirmation Notification data exchange, which confirms the initial request successfully passed the clerk review and contains the pertinent public defender assignment information.

2.3.2 Related exchanges

The related exchanges in this section identify associated exchanges integration partners may use to modify, update, or complete a correlated business process. This exchange may be invoked as a subsequent exchange from the CCMS-V4-CAS904 Send Public Defender Case Assignment Notification data exchange.

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- 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 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 alternate flow of information for error and exception handling scenarios. Additional diagrams and descriptions of information flows are found in the “*Data Exchange Functional Guidelines*.”

3.1 Primary Flow

1. An integration partner sends the receive public defender assignment notification request message to the ISB.
2. The ISB receives request message, performs schema validation, translates the message to California judicial branch XML schema standard and forwards the request message to CCMS.
3. CCMS receives the request message and performs business validations for the data exchange per the rules outlined in [Section 6.0, Additional Business Rules and Processes](#).
4. CCMS sends the success or failure response message to the ISB.
5. The ISB receives the response message, performs schema validation, translates the message to the NIEM standard, and forwards the response message to the integration partner.
6. The integration partner receives the response message and takes appropriate action.

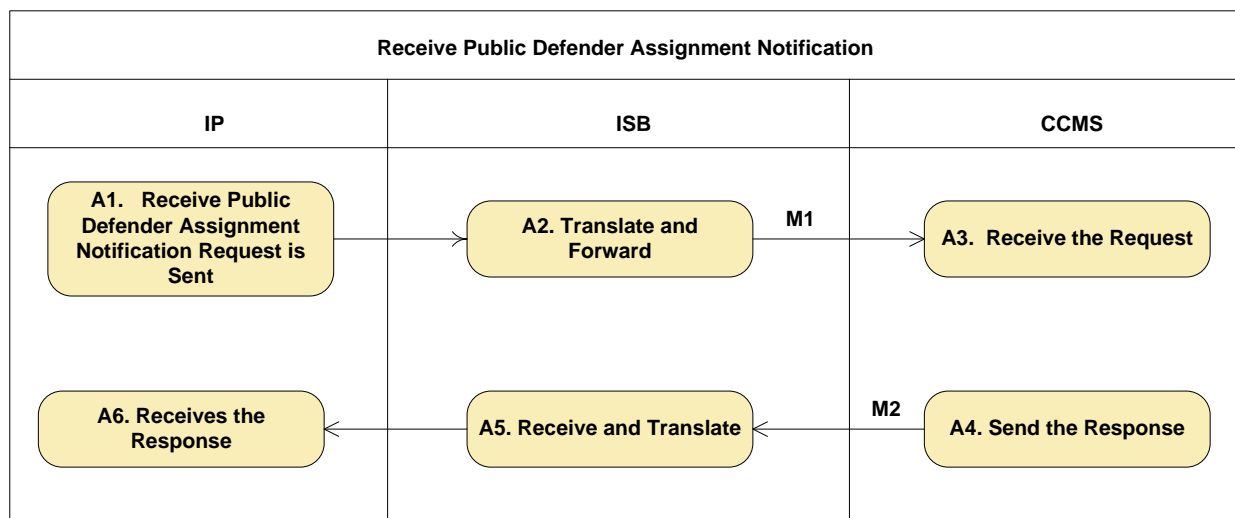


Figure 2. Court Receives Public Defender Assignment Notification Activity Diagram

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

3.3 Messages

A data exchange message⁴ is a complete package of information sent between the courts and an integration partner. This exchange includes three types of messages.

1. Request message
 - a. The Request message contains the public defender information, (e.g., CCMS case number, participant, and public defender attorney information) sent from an integration partner to a trial court.
2. Response messages
 - a. The Success Response message contains the successful delivery confirmation message with the request data echoed back to the integration partner.
 - b. The Error Response message contains error and error description information indicating the daily receipt request message was not successful and corrective action is required.

⁴ As defined in the Justice Reference Architecture v1.8 February 2010.

3. Business responses

- a. The CCMS-V4-CAS908 Send Public Defender Assignment Confirmation Notification data exchange, which is the subsequent business response to this exchange. This exchange confirms the initial filing successfully passed the clerk review process and contains the pertinent information.
- b. The CCMS-V4- EFL902 Court Sends Clerk Review Rejection Notification -Send Clerk Review Rejection Notification data exchange, which contains rejection information in response to the court clerk's review of the initial filing. This message informs the originating integration partner that the public defender assignment did not pass the court clerk review and corrective action is required

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 the public defender information.

- Conditions = None

4.2 Subsequent Events

Information is forwarded to CCMS and a task is dropped into a work queue for clerk review and subsequent processing of the request message.

- Conditions = None

5.0 Data Exchange Errors and Exceptions

“*CCMS Data Exchange Errors*” contains all exchange specific errors that may occur between an integration partner and CCMS; it includes the following three sections that list error codes, names, and descriptions for each error type:

- **Transient and non-transient errors** may occur while the ISB processes messages.
- **Functional errors** may occur while the ISB or CCMS process messages.
- **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.

This data exchange uses several CEBs, which contain an over-inclusive set of data elements that may or may not be required for this data exchange. Consequently, Table 1 may include errors that do not apply to this exchange and integration partners should disregard these types of errors accordingly.

6.1 Business Rules

Table 1. Business Rules

Referenced Element	Business Rule Description
Case Title	Only required when a Case Number is sent
Case Year	Digits can be 0-9 and must be in YYYY format
Court Code	Must be a number ranging from 1 to 58
EndDate	Must be in YYYY-MM-DD format
District	(CEB11) Branch: Court. EFiling Court Information <ul style="list-style-type: none"> Allowable values are determined by the Court Code selected. Applicable when the Resource Type selected is "Department"
External Case Number	<ul style="list-style-type: none"> External Case Number and CCMS Case Number are mutually exclusive; only one may be provided Required when CCMS Case Number is not provided
External Case Xref Number	Digits can be 0-9
Integration Partner Phone Number	Digits can be 0-9 and must be in ###-###-#### format
Location	(CEB11) Branch: Court. EFiling Court Information <ul style="list-style-type: none"> Allowable values are determined by the District selected
Participant ID	Must be numeric.
StartDate	Must be in YYYY-MM-DD format
Submitted Date/Time	May be in any of the following formats: <ul style="list-style-type: none"> YYYY-MM-DDThh:mm:ss.sss-offset YYYY-MM-DDThh:mm:ss.ss YYYY-MM-DDThh:mm:ss.ssZ
Submitter Information Branch	Must contain Organization or Person information; not both
Success Response	
Case Title	Only required when a Case Number is sent
Case Year	Digits can be 0-9 and must be in YYYY format
Court Code	Must be a number ranging from 1 to 58
EndDate	Must be in YYYY-MM-DD format
District	(CEB11) Branch: Court. EFiling Court Information <ul style="list-style-type: none"> Allowable values are determined by the Court Code selected. Applicable when the Resource Type selected is "Department"

Referenced Element	Business Rule Description
External Case Number	<ul style="list-style-type: none"> External Case Number and CCMS Case Number are mutually exclusive; only one may be provided. Required when CCMS Case Number is not provided.
External Case Xref Number	Digits can be 0-9
Integration Partner Phone Number	Digits can be 0-9 and must be in ###-###-#### format.
Location	(CEB11) Branch: Court. EFiling Court Information <ul style="list-style-type: none"> Allowable values are determined by the District selected.
Participant ID	Must be numeric.
Received Date	Must be in YYYY-MM-DD format
Received Time	Will be in either hh:mm or hh:mm:ss formats
Start Date	Must be in YYYY-MM-DD format
Submitted Date/Time	Will be the following format: <ul style="list-style-type: none"> YYYY-MM-DDThh:mm:ss.sss-offset
Submitter Information Branch	Must contain Organization or Person information; not both.
Status	Will always be 'Received'
Error Response	
Date	Must be in YYYY-MM-DD format
Time	Will be in either hh:mm or hh:mm:ss formats
Status	Allowable values are: <ul style="list-style-type: none"> Error Rejected

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 also 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 Table 2.

As a reference, the AOC created the “*AOC Codes*” document, which lists all AOC code tables, values, and descriptions in alphabetical order. At the time of this writing, “*AOC Codes*” reflects the current values 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	
County	CountyCodeSimpleType
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 • CDSS = CDSSNUMBR • Citation Number = CITNUM • City Attorney Case File Number = CACFNUM • Companion = CMPNAIN • CWS Number = CWSNUMBR • DA Case File Number = DACSNMNR • DCA Appeals Case Number = DACNUM • DCFS Case Number = DCFSNUMBR • DCSS Case Number = DCSSCSNUMBR • DCSS Participant Number = DCSSPRTNR • DR Number = DRNUMBR • Filing Agency Case = FILEAGENCY • Fingerprint Card Number = FINGPRNT • Other = OTHR • Probation Case Number = PNCUM • Public Defender Case Number = PDCN • Search Warrant Number = SWNUM • Sheriff's ID number = SHIDNUM • Supreme Court Appeals Case Number = SUACOAPCN • Warrant Control Number = WARCONNUM • Warrant Number = WRNTNUMBR
Participant Category	ParticipantCodeSimpleType
Resource Type	ResourceCodeSimpleType
Success Response	
County	CountyCodeSimpleType
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 • CDSS = CDSSNUMBR • Citation Number = CITNUM • City Attorney Case File Number = CACFNUM • Companion = CMPNAIN • CWS Number = CWSNUMBR • DA Case File Number = DACSNMNR • DCA Appeals Case Number = DACNUM • DCFS Case Number = DCFSNUMBR • DCSS Case Number = DCSSCSNUMBR • DCSS Participant Number = DCSSPRTNR • DR Number = DRNUMBR • Filing Agency Case = FILEAGENCY • Fingerprint Card Number = FINGPRNT • Other = OTHR • Probation Case Number = PNCUM • Public Defender Case Number = PDCN

Element Name	AOC Code Schema Table Name
	<ul style="list-style-type: none"> Search Warrant Number = SWNUM Sheriff's ID number = SHIDNUM Supreme Court Appeals Case Number = SUACOAPCN Warrant Control Number = WARCONNUM Warrant Number = WRNTNMBR
Participant Category	ParticipantCodeSimpleType
Resource Type	ResourceCodeSimpleType
Error Response	
Code	See "CCMS Data Exchange Errors" for a list of errors
Description	See "CCMS Data Exchange Errors" for a list of errors

6.2.2 Court configurable elements

Local courts have the ability to create, edit, and remove allowable values for some data elements.

- District
- Location

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

This exchange includes numerous "Indicator" elements that provide additional information related to a specific condition or scenario. 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.

6.3 Business Processes

There are no additional business processes, which 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 data exchange. Routing rules are based on the content contained in the Common Service Header, which is described in the “*CCMS Data Exchange Common Technical Requirements*.”

- No additional routing rules apply to this exchange.

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 routed to the destination immediately.

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. 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

