



# **Service Description Document: CCMS Data Exchange DOJ901**

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COURT SENDS INITIAL OR SUBSEQUENT  
DISPOSITION NOTIFICATION  
APRIL 2012



ADMINISTRATIVE OFFICE  
OF THE COURTS

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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	L. Modisette	First release
2.0.0	April 2012	G. Gurbhej. F. Farmanfarman, F. Cebulski	Added additional business rules (section 6.1); made corrections to entire document.

## Reference Documents

Version	Date	Document Title	Author
7.2	April 2011	<a href="#">Executive Summary</a>	Deloitte Consulting
7.2	April 2011	<a href="#">ISB-CCMS Data Exchanges Overview</a>	Deloitte Consulting
7.2	April 2011	<a href="#">Data Exchange Functional Design Guidelines</a>	Deloitte Consulting
1.0	February 2012	<a href="#">Court Sends Initial or Subsequent Disposition Notification (DOJ901) Data Sheet</a>	AOC
2.0.1	April 2012	<a href="#">DOJ901 Data Exchange Specifications</a>	Deloitte Consulting
1.0	February 2012	<a href="#">CCMS Data Exchange Common Technical Requirements</a>	AOC
7.2	March 2011	<a href="#">CCMS Data Exchange Errors</a>	AOC
1.0.0	January 2012	<a href="#">CCMS Court Policy File User Guide</a>	AOC
1.0	September 2011	<a href="#">AOC Codes</a>	AOC/SEARCH
TBD	September 2011	<a href="#">Local Integration Assessment Methodology</a>	TBD
2.0	June 2010	<a href="#">LIAM Light</a>	AOC



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## 1.0 Executive Summary

### 1.1 Purpose

The purpose of this document is to provide integration partners with descriptive information regarding the context and business processes when preparing to implement data exchanges with the California Court Case Management System (CCMS). This document details the exchange content requirements and related business requirements needed for a trial court to send initial or subsequent disposition information to an integration partner.

Integration partners most likely to use this data exchange include:

- California Department of Justice (DOJ)

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, Web Service Description Language (WSDL) files, and the *CCMS Data Exchange Common Technical Requirements*, and should be reviewed along with those documents when preparing for deployment. The XML schemas, WSDLs, and *CCMS Common Technical Requirements* document 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 partner requires to send and receive data to and from 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 (SDD) 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 Reference Architecture Service Specification Guidelines](http://www.it.ojp.gov/default.aspx?area=nationalInitiatives&page=1015#RefSSPs)<sup>1</sup>.

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<sup>1</sup> <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.

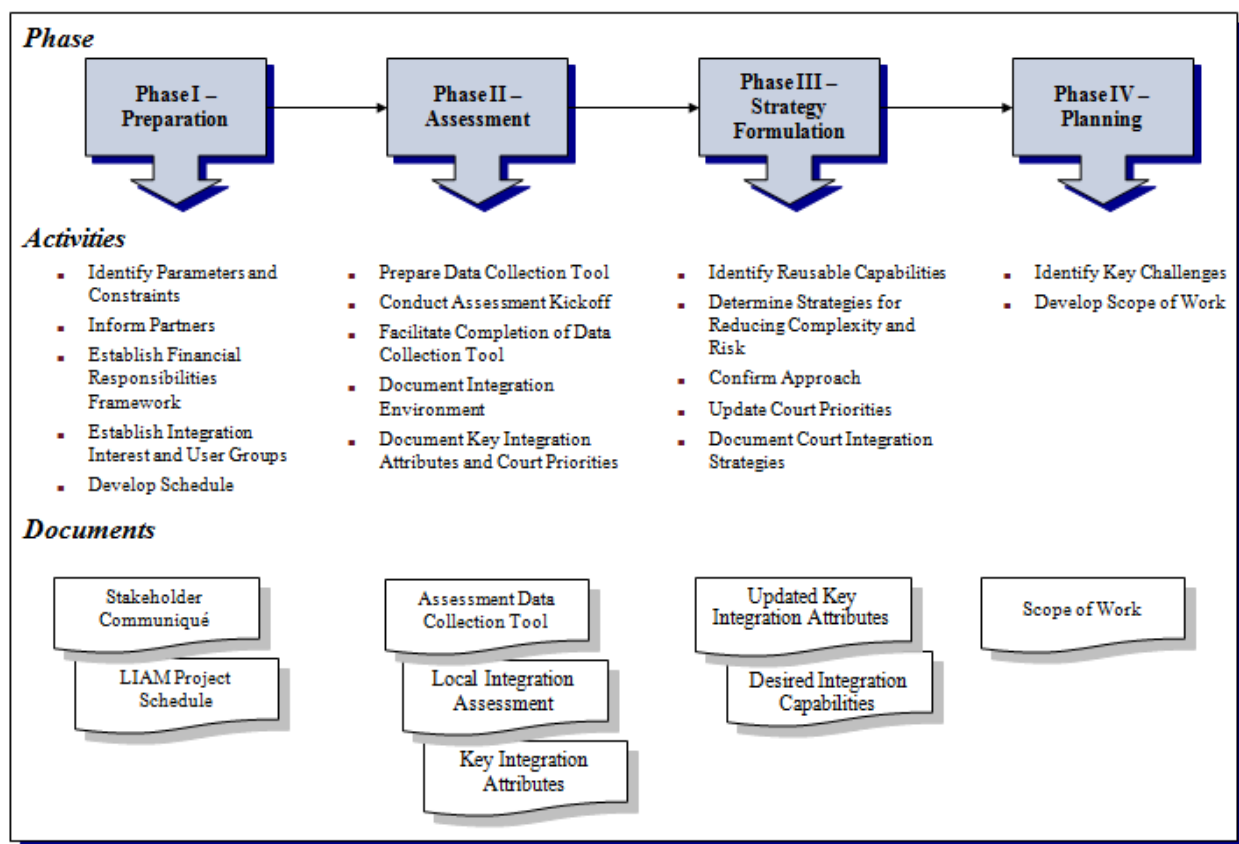


Figure 1. LIAM Implementation Phases

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, architects, etc.
- Integrated Services Backbone (ISB) vendors
- CCMS vendors
- Court CCMS project managers and SMEs

## 1.3 CCMS Data Exchange Overview

As part of the CCMS project, 121 data exchanges servicing all case types were developed to enable courts and their integration partners to exchange information using CCMS. Sixty-three exchanges are based on data exchange standards established in the [National Information Exchange Model](#)<sup>2</sup> (NIEM), and 58 exchanges are based on California judicial branch XML schema. It is important to note that each of the 121 exchanges is actually a set of exchanges that includes individual exchanges for Request, Response, and Error Handling. A complete list of CCMS data exchanges is available on the [Integration Partners website](#)<sup>3</sup>.

## 1.4 Assumptions

Following is a list of current assumptions:

- Integration partners and courts have completed their LIAM process as a prerequisite to implementing data exchanges.
- Integration partners have a working proficiency with Web services and XML, and a basic understanding and knowledge of the NIEM structure and implementation concepts.

## 1.5 Risks

To date, there are no risks identified for this exchange.

## 1.6 Conventions Used in this Document

### 1.6.1 Exchange naming convention

During the data exchange development process, the AOC adopted a standard naming convention to describe the “action” of the exchange from the court perspective, and applied an alphanumeric categorization for various court functions. Each follows this format:

<Application>-<Interface Number><Interface Name>

Where:

- *Application* is CCMS

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<sup>2</sup> <http://niem.gov/>

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

- *Interface Number* consists of code name of functional area (two or three letters, e.g., “DOJ” for Department of Justice-related data exchanges), and a three-digit number:
  - If the first digit is “8” then CCMS is receiving the data from an integration partner.
  - If the first digit is “9” then CCMS is sending the data to an integration partner.
  - The remaining two digits identify the unique integer ID sequentially assigned to the data exchange.
- *Interface Name* is the 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 DOJ901 Court Sends Initial or Subsequent Disposition Notification data exchange. A trial court uses this NIEM-based data exchange to send an initial or amended disposition notification to an integration partner.

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

### **2.1 Capabilities**

This service provides a trial court (service consumer) with the ability to **send** an initial or amended disposition notification to an integration partner (service provider).

### **2.2 Real World Effects**

This service provides the ability for an integration partner (service provider) to **receive** an initial or amended disposition notification sent by a trial court (service consumer). For example, this exchange would be used when a disposition is entered or modified on an adult or juvenile case in CCMS.

### **2.3 Related Forms and Exchanges**

#### **2.3.1 Business response exchanges**

All exchanges subject to a court 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**

Integration partners may use the following related exchange to modify or complete a business process:

- CCMS-V4-DOJ802 Receive Disposition Error Report Notification which is used when the DOJ discovers an error with the initial disposition submission.

On receipt of CCMS-V4-DOJ802, the court clerk must review and make the appropriate changes to the specific disposition that contains the error. Once the affected disposition is corrected, the clerk will then trigger DOJ901, which sends the amended version of the disposition.

### **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 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 an initial or subsequent disposition notification request message to the ISB.
2. The ISB receives the request message, performs schema validation, translates the message to the NIEM standard, and forwards the notification to the integration partner.
3. The integration partner acknowledges receipt of the message.
4. The integration partner performs business validations, per the rules outlined in [Section 6.0, Additional Business Rules and Processes](#). If an error is encountered, the integration partner sends the error response to the ISB.
5. The ISB receives the response message, performs schema validation, facilitates schema validation to the California judicial branch XML schema standard, and forwards the response message to CCMS.
6. CCMS receives the response message and takes the appropriate action.

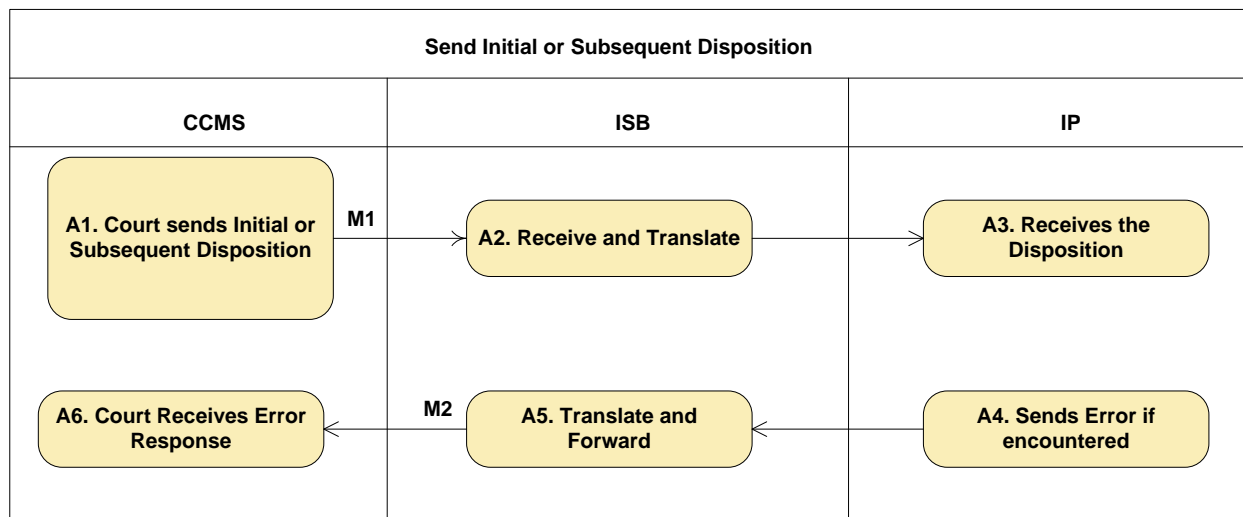


Figure 2. Court Sends Initial or Subsequent Disposition Notification Activity Diagram

## 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., message out of sequence) before the request is forwarded to the target system (integration partner). The ISB handles the exception and sends a response (containing failure reason) to the source system (CCMS).
- The ISB returned a positive acknowledgement to the source system (CCMS), and an exception occurs when the ISB attempts to forward the request to the target system (integration partner). The ISB handles the exception and sends a response (containing failure reason) to the source system (integration partner).
- 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 (integration partner). The ISB handles the exception and sends a response (containing failure reason) to the source system (CCMS).

## 3.3 Messages

A data exchange message<sup>4</sup> is a complete package of information sent between the courts and an integration partner. This exchange includes two types of messages.

1. Request message
  - a. The Request message contains initial or amended disposition information, (e.g., arresting agency, FBI number) sent from a trial court to an integration partner.
2. Response messages
  - a. The Error Response message contains error and error description information indicating the disposition request message was not successful and corrective action is required.

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<sup>4</sup> As defined in the Global Reference Architecture Framework v1.9 April 2011.

## **4.0 Exchange Context**

This section provides DOJ with specific information regarding the context of the exchange.

### ***4.1 Triggering Events***

A trial court sends the disposition information.

- Conditions = None

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

The integration partner is notified and updates their system with the disposition information.

- 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 processes 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 be or are not enforced in the technical specifications that accompany the on-boarding 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. Request Business Rules

Referenced Element	Business Rule Description
Age	Must be a value between 001 and 120
Allegation and Enhancement code #1	<p>Allowable values are:</p> <ul style="list-style-type: none"> <li>• AB,NR</li> <li>• BD,NS</li> <li>• DJ,NT</li> <li>• JR,NU</li> <li>• MB,NZ</li> <li>• MC,OA</li> <li>• MD,OB</li> <li>• ME,OC</li> <li>• MF,OE</li> <li>• MG,OF</li> <li>• MH,OG</li> <li>• MI,OH</li> <li>• MJ,OI</li> <li>• MK,OJ</li> <li>• ML,OM</li> <li>• MM,ON</li> <li>• MT,OO</li> <li>• MU,OP</li> <li>• MV,OR</li> <li>• MW,OT</li> <li>• MX,OV</li> <li>• MY,OW</li> <li>• MZ,OX</li> <li>• NA,OY</li> <li>• NC,PB</li> <li>• NE,PC</li> <li>• NF,PG</li> <li>• NG,PP</li> <li>• NH,PZ</li> <li>• NI,QW</li> <li>• NJ,VX</li> <li>• NK,WH</li> <li>• NL,WI</li> <li>• NM,WS</li> <li>• NN,WV</li> <li>• NO,NQ</li> </ul>
Allegation and Enhancement code #2	<p>Allowable values are similar to Allegation and Enhancement code #1. Please refer to DOJ Electronic Disposition Reporting Manual for Adults.</p>

Referenced Element	Business Rule Description
Allegation and Enhancement code #3	Allowable values are similar to Allegation and Enhancement code #1. Please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Arrest charge type	Allowable values are: <ul style="list-style-type: none"> <li>• F</li> <li>• M</li> <li>• I</li> <li>• X</li> </ul>
Arrest statute degree	Allowable values are: <ul style="list-style-type: none"> <li>• 0</li> <li>• 1</li> <li>• 2</li> <li>• 3</li> </ul>
Condition 1 – firearms prohibited	Allowable values are: <ul style="list-style-type: none"> <li>• Y</li> <li>• (Blank)</li> </ul>
Condition 2 – Drug treatment placement for future use	Allowable values are: <ul style="list-style-type: none"> <li>• Y</li> <li>• (Blank)</li> </ul>
Condition 3 – Searchable Probation	Allowable values are: <ul style="list-style-type: none"> <li>• Y</li> <li>• (Blank)</li> </ul>
Condition 4 – Required to Register	Allowable values are: <ul style="list-style-type: none"> <li>• Y</li> <li>• (Blank)</li> </ul>
Consolidated Court File Number	Optional 1 - 20 character alpha/numeric/special character field. For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Court disposed charge type	Allowable values are: <ul style="list-style-type: none"> <li>• F</li> <li>• M</li> <li>• I</li> <li>• X</li> </ul> For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Court Disposition Type	Allowable values are: <ul style="list-style-type: none"> <li>• ACQT</li> <li>• CJUV</li> <li>• COOS</li> <li>• CONV</li> <li>• DISM</li> <li>• NGIS</li> <li>• EXTR</li> </ul>
Court File Number	Mandatory 1 - 20 character alpha/numeric/special character field. For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Court filing charge type	Allowable values are: <ul style="list-style-type: none"> <li>• F</li> <li>• M</li> <li>• I</li> <li>• X</li> </ul>

Referenced Element	Business Rule Description
Court final plea	Allowable values are: G = Guilty N = Nolo Contendre
Court Judicial District Number	<ul style="list-style-type: none"> <li>Mandatory 5 character numeric field</li> </ul> Five character numeric must be on the ACHS ORI Type 2Table (Court ORI)
Court Literal Identifier (IDF)	Optional 3 character alpha field For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Court statute code identifier	<ul style="list-style-type: none"> <li>Field is required</li> <li>Allowable values are: <ul style="list-style-type: none"> <li>AB = Alcohol Beverage Control Act,</li> <li>BP = Business and Professions Code,</li> <li>CA = California Administrative Code,</li> <li>CC = Corporations Code,</li> <li>CI = Civil Code,</li> <li>CM = Commercial Code,</li> <li>CO = County Ordinance,</li> <li>CP = Civil Procedure Code,</li> <li>CR = California Code of Regulations,</li> <li>EC = Education Code,</li> <li>EL = Elections Code,</li> <li>EV = Evidence Code,</li> <li>FA = Food and Agriculture Code,</li> <li>FC = Financial Code,</li> <li>FG = Fish and Game Code,</li> <li>GC = Government Code,</li> <li>HN = Harbors and Navigation Code,</li> <li>HS = Health and Safety Code,</li> <li>IA = Immigration and Naturalization Act,</li> <li>IC = Insurance Code,</li> <li>LC = Labor Code,</li> <li>MV = Military and Veterans Code,</li> <li>PB = Public Contract Code,</li> <li>PC = Penal Code,</li> <li>PO = Probate Code,</li> <li>PR = Public Resources Code,</li> <li>PU = Public Utilities Code,</li> <li>RT= Revenue and Taxation Code,</li> <li>SH = Streets and Highways Code,</li> <li>UB = Uniform Building Code,</li> <li>UI = Unemployment Insurance Code,</li> <li>US = United States Code,</li> <li>VC = Vehicle Code,</li> <li>WC = Water Code,</li> <li>WI = Welfare and Institutions Code</li> </ul> </li> </ul>

Referenced Element	Business Rule Description
Court Statute Literal	Optional 1-50 character alpha/numeric/special character field. For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Court type of trial	Allowable values are: <ul style="list-style-type: none"> <li>• C</li> <li>• J</li> <li>• T</li> </ul> For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Death Sentence	<ul style="list-style-type: none"> <li>• Optional 1 character alpha field</li> <li>• Value is: Y = Yes</li> <li>• Space = No data reported</li> </ul> For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Dismissed reason	Allowable values are: <ul style="list-style-type: none"> <li>• A = Dism/1385 PC</li> <li>• B = Dism/1377/1378 PC</li> <li>• C = Dism/871 PC</li> <li>• D = Dism/1381/1381.5/1382 PC</li> <li>• E = Dism/995 PC</li> <li>• F = Dism/1008 PC</li> <li>• G = Dism/1099 PC</li> <li>• H = Dism/1100 PC</li> <li>• I = Dism/1185/1187/1188 PC/Disch</li> <li>• K = Dism/Mistrial Disch</li> <li>• L = Dism/Mistrial Recomm</li> <li>• M = Dism/Other</li> <li>• N = Dism/Plea Negotiation</li> <li>• P = Dism/Motion of People</li> <li>• X = Dism/No Reason Available</li> </ul>
DOJ Internal Use Only	Must always be blank
Event Sequence Number	Must be a value between 001 and 999
Eye Color	Allowable values are: <ul style="list-style-type: none"> <li>• BLK = BLACK</li> <li>• BLU = BLUE</li> <li>• BRO = BROWN</li> <li>• GRN = GREEN</li> <li>• GRY = GRAY</li> <li>• HAZ = HAZEL</li> <li>• MAR = MAROON</li> <li>• PNK = PINK</li> <li>• MUL = MULTICOLOR</li> <li>• XXX = UNKNOWN</li> </ul>
Gender	Allowable values are: <ul style="list-style-type: none"> <li>• F</li> <li>• M</li> <li>• X</li> </ul>

Referenced Element	Business Rule Description
Hair Color	<p>Allowable values are:</p> <ul style="list-style-type: none"> <li>• BAL = BALD</li> <li>• BLK = BLACK</li> <li>• BLN = BLONDE</li> <li>• BRO = BROWN</li> <li>• GRY = GRAY</li> <li>• RED = RED/AUBURN</li> <li>• SDY = SANDY</li> <li>• WHI = WHITE</li> <li>• XXX = UNKNOWN</li> </ul>
Height	<p>First digit is the number of feet</p> <ul style="list-style-type: none"> <li>• Must be a value between 3 and 8</li> </ul> <p>Last 2 digits are the number of inches</p> <ul style="list-style-type: none"> <li>• Must be a value between 0 and 11</li> </ul>
Number of Same Court Offenses	<p>Optional 3 character numeric field. For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.</p>
Other law enforcement disposition	<p>Must be blank or null</p>
Prison Stayed Length (also for Jail Length)	<p>Optional 5 character alpha/numeric field For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.</p>
Proceedings suspended type	<p>Allowable values are:</p> <ul style="list-style-type: none"> <li>• 01</li> <li>• 02</li> <li>• 03</li> <li>• 05</li> <li>• 06</li> <li>• 07</li> <li>• 08</li> <li>• 12</li> </ul>
Race	<p>Allowable values are:</p> <ul style="list-style-type: none"> <li>• A = OTHER ASIAN</li> <li>• B = BLACK</li> <li>• C = CHINESE</li> <li>• D = CAMBODIAN</li> <li>• F = FILIPINO</li> <li>• G = GUAMANIAN</li> <li>• H = HISPANIC</li> <li>• I = AMERICAN INDIAN</li> <li>• J = JAPANESE</li> <li>• K = KOREAN</li> <li>• L = LAOTIAN</li> <li>• O = ALL OTHERS</li> <li>• P = PACIFIC ISLANDER</li> <li>• S = SAMOAN</li> <li>• U = HAWAIIAN</li> <li>• V = VIETNAMESE</li> <li>• W = WHITE</li> <li>• X = UNKNOWN</li> <li>• Z = ASIAN INDIAN</li> </ul>

Referenced Element	Business Rule Description
Reason for non-filing number 1	Must be blank or null
Reason for non-filing number 2	Must be blank or null
Step Type	Allowable values are: <ul style="list-style-type: none"><li>• 01</li><li>• 02</li><li>• 03</li><li>• 04</li><li>• 05</li></ul>
Sentencing Stayed	Optional 1 character alpha field. For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
17 PC	Optional 1 character alpha field. For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.



Referenced Element	Business Rule Description
Subsequent action code	<p>Allowable values are:</p> <p><b>Subsequent Action Types:</b></p> <ul style="list-style-type: none"> <li>• 20 = Diversion Terminated-Successful,</li> <li>• 21 = Appeal-Judgment Upheld,</li> <li>• 23 = Dismissed-Plea Withdrawn,</li> <li>• 24 = Drug CRT-Deferred Judgment Successful,</li> <li>• 40 = Probation Violated, Revoked, and/or Reinstated With A Sentence Modification,</li> <li>• 41 = Probation Extended,</li> <li>• 42 = Sentence Modified,</li> <li>• 53 = Reopen CRC Narcotic Commitment -Misdemeanor Conviction/3050 WI,</li> <li>• 54 = Reopen CRC Narcotic Commitment- Felony Conviction/3051 WI,</li> <li>• 55 = Appeal-Judgment Reversed,</li> <li>• 58 = Reopen Comm Insane/Mental Incomp 1370 PC,</li> <li>• 60 = Early Dismissal from Probation,</li> <li>• 61 = Reduced To Misdemeanor/17 PC,</li> <li>• 62 = Sentence Vacated,</li> <li>• 67 = Diversion Terminated-Criminal Proceedings Resumed,</li> <li>• 68 = Drg CRT/Deferred Judgment Terminated- Criminal Proceedings Resumed Reduced/Set Aside</li> </ul> <p><b>Dismissed Types:</b></p> <ul style="list-style-type: none"> <li>• 70 = Reduced Misd 17 PC &amp; Dism per 1203.4 PC,</li> <li>• 71 = Conv Set Aside &amp; Dism per 1203.4 PC,</li> <li>• 72 = Conv Set Aside &amp; Dism per 1203.4A PC,</li> <li>• 73 = Conv Set Aside &amp; Dism per/1772 W&amp;I,</li> <li>• 74 = Conv Set Aside &amp; Dism per/3200 W&amp;I,</li> <li>• 75 = Conv Set Aside &amp; Dism per/1210.1(D) PC</li> </ul> <p><b>Record Sealed Types:</b></p> <ul style="list-style-type: none"> <li>• 80 = Record Sealed 851.7 PC,</li> <li>• 81 = Record Sealed 851.8 PC,</li> <li>• 82 = Record Sealed 851.85 PC,</li> <li>• 83 = Record Sealed, 1203.45PC,</li> <li>• 84 = Record Sealed 389 WI,</li> <li>• 85 = Record Sealed 781 WI</li> </ul>

Referenced Element	Business Rule Description
Total Fixed Prison Term (TFPT)	Optional 5 character alpha/numeric character field. For additional conditional checks, please refer to DOJ Electronic Disposition Reporting Manual for Adults.
Type of Event	Allowable values are: <ul style="list-style-type: none"> <li>• A = Arrest</li> <li>• B = Court Ordered Booking</li> <li>• C = Citation</li> <li>• I = Indictment</li> <li>• L = Letter/Notice to Appear</li> <li>• W = Warrant</li> <li>• X = Unknown</li> </ul>
Weight	Must be a value between 0 and 699 (lbs)

## 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

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, which contains element names and the corresponding AOC Code Schema Table name.

The AOC created the *AOC Codes* document for reference. This document lists all AOC code tables, values, and descriptions in alphabetical order but should not be used as the authoritative source for validation purposes.

Table 2. AOC Codes

Element Name	AOC Code Schema Table Name
Report Type	DOJTransCodeSimpleType This exchange only allows the following enumerated values for this element: <ul style="list-style-type: none"> <li>• Initial = 1</li> <li>• Subsequent = 2</li> <li>• Correction = 3</li> </ul>
<b>Error Response</b>	
Error Code	See <i>CCMS Data Exchange Errors</i> for a list of errors.
Error Description	See <i>CCMS Data Exchange Errors</i> for a list of 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:

- There are no court configurable data elements.

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., 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 *CCMS Court Policy File User Guide*.

## 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.

The following schemas are the authoritative source for the indicator allowable values:

- 1203.2 PC in lieu of filing
- 17 PC
- 849 (b) PC Release Indicator
- CasePartyConfrontRightWaivedIndicator
- CasePartyCounselPleaIndicator
- Concurrent with case/count/term
- Consecutive to case/count/term
- Court found plea was knowledgeable, intelligently made, and voluntary (#8)
- Death Sentence
- Defendant represented by counsel (#3)
- Defendant waived counsel (#2)
- Fingerprint Taken Indicator
- Imposition of sentence suspended
- Juvenile disposition
- Privilege against compulsory self incrimination waived – yes/no (#5)

- Prosecutor Refiling
- Released to Other Agency
- Right to trial by jury waived - yes/no (#4)
- Sentence Stayed
- Successful/unsuccessful prosecutor deferral
- Work

## **6.3 Business Processes**

This data exchange is executed in a nightly batch transmission.

## **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*.

The AOC will use the following data elements' rules to route this exchange to an integration partner:

- Court Code
- Exchange Name Rules

### 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.

- This transaction is retransmitted every hour until 8:00 a.m. the following day, before being declared unsuccessful.

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
FFA	Fees, Fines and Assessment
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

