Service Description Document:

CCMS Data Exchange ISS803

COURT RECEIVES WARRANT RE-ISSUANCE/PURGE REQUEST
JUNE 2011

ADMINISTRATIVE OFFICE
OF THE COURTS

INFORMATION SERVICES DIVISION

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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	ISS803 Data Exchange Specification	Deloitte Consulting/AOC/ SEARCH
1.0.0	June 2011	Service Description Document: CCMS Data Sheet EFL902 – Court Sends Clerk Review Rejection Notification	Optimum Technology
1.0.0	June 2011	Service Description Document: CCMS Data Sheet ISS905 Court Sends Warrant Re-issuance/Purge Request Confirmation 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 needed for the trial court to receive a request to either reissue or purge a warrant from an integration partner.

Integration partners most likely to use this data exchange include:

- Law enforcement agency (LEA)

This document reflects agency business rules and policies that have a direct impact on the system interactions among court and integration partners. This is a companion to the exchange specifications, contained in the exchange Extensible Markup Language (XML) schemas and Web Service Description Language (WSDL) files, and the "*CCMS Data Exchange*: *Common Technical Requirements*," and should be reviewed along with these documents when preparing for deployment. The schemas, WSDLs, and "*Common Technical Requirements*" documentation provide specific technical details regarding message structures and implementation requirements, including infrastructure, security, and deployment information. Collectively, these documents provide all information required for an integration partner to send and receive data for this exchange with CCMS.

The information contained here compiles court-specific information from a number of AOC documents and resources, including the "*CCMS Data Exchange Functional Design,*" "*CCMS Core Application Functionality*," and the "*CCMS Technical Architecture*." The content in this document provides integration partners with a concise, detailed explanation of data exchange content and related business processes, and includes the following topics:

- Exchange description
- Events and conditions
- CCMS business processes and rules
- CCMS data requirements
- Message patterns
- Exceptions, acknowledgements, errors
- Other descriptive information

This Service Description Document is based on the Global Justice Reference Architecture's Service Specifications Guidelines. More information about this initiative is available at http://www.it.ojp.gov/default.aspx?area=nationalInitiatives&page=1015#RefSSPs.

Prior to implementing data exchanges with CCMS, it is strongly advised that each integration partner participate in a readiness assessment prepared by the AOC in partnership with the courts. This assessment, called the "Local Integration Assessment Methodology (LIAM)," consists of four phases to provide both integration partners and the courts with necessary information prior to implementation activities. Figure 1 describes this process in more detail.
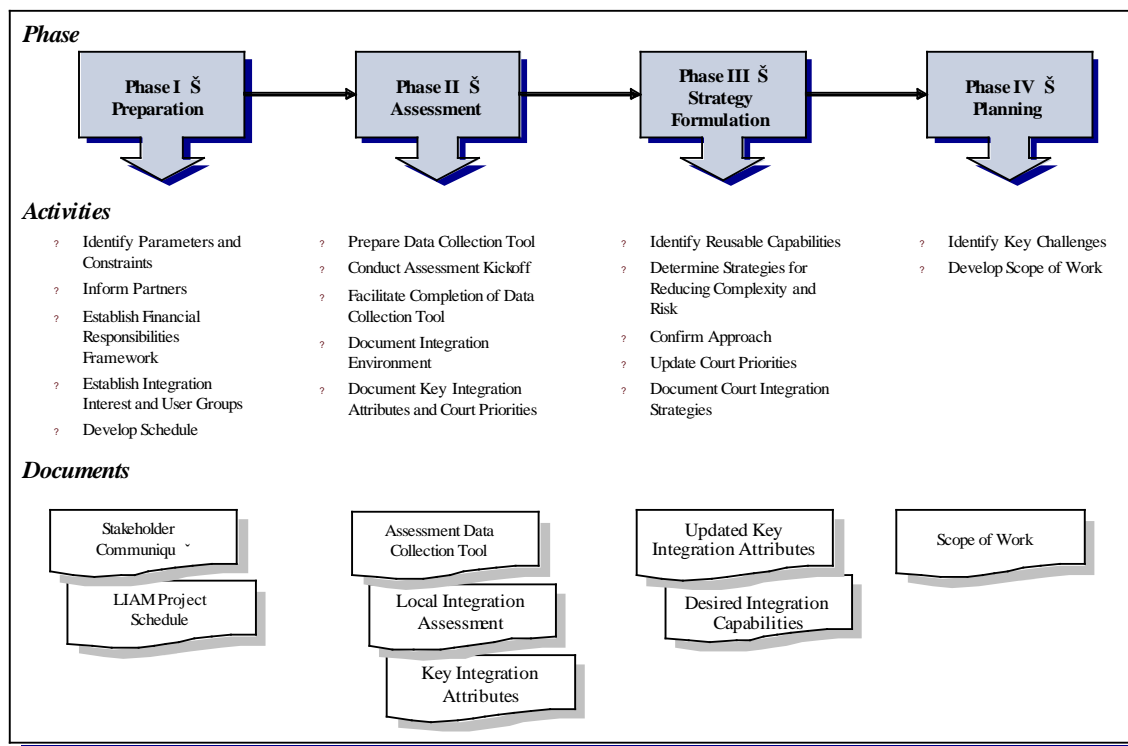
Figure 1.Implementation Phases

Alternatively, an integration partner can choose to participate in the "*LIAM Light*" assessment, which focuses on replacing existing electronic exchanges instead of automating new exchanges.

After CCMS is deployed with the replaced existing exchanges, integration partners may want to use the full LIAM to assess other business processes that can be automated using other exchanges.

1.2 Audience

Audiences for this document are subject matter experts (SMEs) and technical staff, who need to understand how this data exchange works in order to implement it between an integration partner and CCMS. Known audiences include:

- Integration partner CCMS Data Exchange Implementation Team

- CCMS Deployment Team

- AOC Data Integration staff, including business analysts, developers, and architects, etc.

- Integrated Services Backbone (ISB) vendors
- CCMS vendors
- Court CCMS project managers and SMEs

1.3 CCMS Data Exchange Overview

As part of the CCMS project, 121 data exchanges servicing all case types were developed to enable courts and their integration partners to exchange information using CCMS. Sixty-three exchanges are based on data exchange standards established in the National Information Exchange Model[1] (NIEM), and 58 exchanges are based on California judicial branch XML schema. It is important to note that each of the 121 exchanges is actually a set of exchanges that includes individual exchanges for Request, Response, and Error Handling. A complete list of CCMS data exchanges is available on the Integration Partners website[2].

1.4 Assumptions

Following is a list of current assumptions:

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

1.5 Risks

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

1.6 Conventions Used in this Document

1.6.1 Exchange naming convention

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

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

Where:

- *Application* is CCMS

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[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 ISS803 Receive Warrant Re-issuance/Purge Request data exchange. A trial court uses this NIEM-based data exchange to receive a request from an integration partner to either reissue or purge a warrant. After the court reviews the reissue or purge request, the judicial officer may approve or deny the request. When a reissue request is approved, the original warrant is recalled (if that warrant is still not cleared) and a new warrant is issued. When a purge request is approved, the original warrant is only recalled.

In the case of a successful delivery, the entire set of request data is echoed back to the integration partner along with a confirmation message. The confirmation notification information in this data exchange is sent to the same integration partner that originated the case initiation request. In the case of an error, an error message is sent back with a description of the error.

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 ability for a trial court (service provider) to **receive** a request from a LEA (service consumer) to either reissue or purge a warrant.

2.2 Real World Effects

This service provides the ability for an LEA (service consumer) to **send** a request to the trial court (service provider) to either reissue or purge a warrant. The following are possible situations when an LEA may wish to request either a reissue or purge of a warrant:

- A warrant has expired.

- A warrant has been returned unserved.

- A warrant was inadvertently served against the wrong person.

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 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 request.
- The CCMS-V4-ISS905 Send Warrant Re-issuance/Purge Request Confirmation Notification data exchange, which confirms the initial request successfully passed the clerk review and contains the pertinent warrant 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.

The related exchanges include CCMS-V4-ISS901 Send Warrant Issuance Recall Notification, which is used by the court to send warrant issuances and recalls to an integration partner.

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-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 LEA sends the warrant re-issuance/purge request to the ISB.

2. The ISB receives the request, performs schema validation, translates the message to California judicial branch XML schema standard and forwards the request to CCMS.

3. CCMS receives the request and performs business validations, per the rules outlined in Section 6.0, Additional Business Rules and Processes.

4. CCMS sends the success or failure response to the ISB.

5. The ISB receives the response, translates the message to the NIEM format and forwards the response to the originating LEA.

6. The originating LEA receives the response and takes appropriate action.
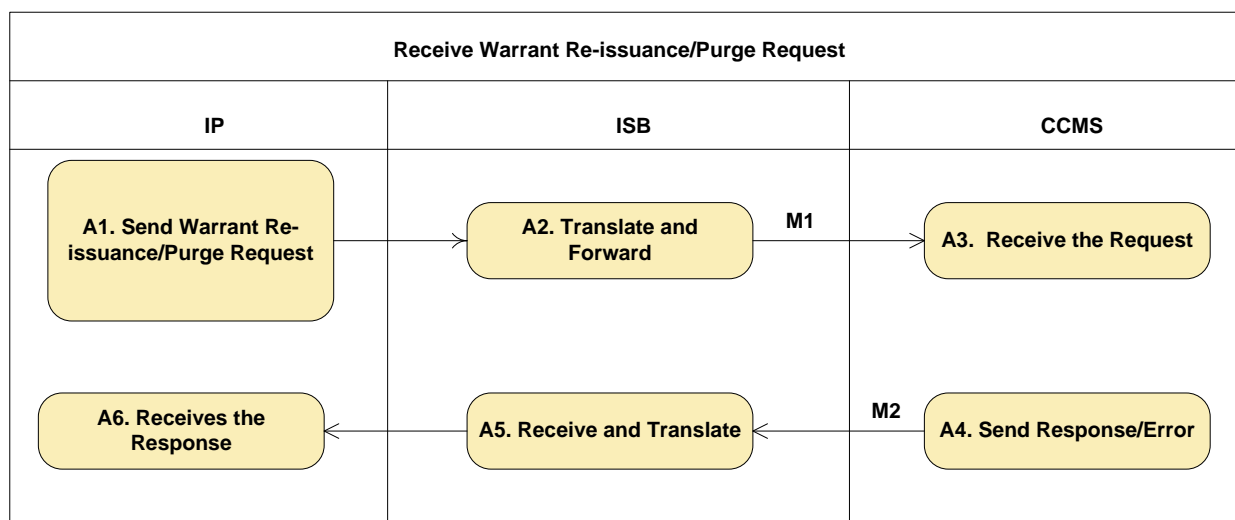

Figure 2. Court Receives Warrant Re-issuance/Purge Request Activity Diagram

3.2 Alternate Flow

This exchange includes three possible alternate flows, depending upon the nature of the problem.

- The ISB returned a positive acknowledgement to the source system (integration partner,) 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 the failure reason) to the source system (integration partner).

- The ISB returned a positive acknowledgement to the source system (integration partner system), 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 the failure reason) to the source system (integration partner).

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

3.3 Messages

A data exchange message[3] 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 warrant information (e.g., CCMS warrant ID, warrant type, participant), sent from the LEA to the court.

2. Response messages

    a. The Success Response message contains the warrant information response with the request data information echoed back, sent by the court to the LEA.

    b. The Error Response message contains error and error description information indicating the warrant information request message was not successful and corrective action is required.

3. Business Response

    a. 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 request.

    b. The CCMS-V4-ISS905 Send Warrant Re-issuance/Purge Request Confirmation Notification data exchange, which confirms the initial request successfully passed the clerk review and contains the pertinent warrant information.

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[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

An integration partner sends the trial court a request to re-issue/purge a warrant.

- Conditions = None

4.2 Subsequent Events

The trial court receives the filing for subsequent review by the clerk.

- 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.

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. Shaded elements indicate that the element appears multiple times in the data exchange and may have unique rules depending on the context of its use.

6.1 Business Rules

Table 1. Business Rules

Referenced Element	Business Rule Description
Request	
Case Number	• External Case Number and CCMS Case Number are mutually exclusive; only one may be provided. • Required when External Case Number is not provided. • Must be sent for case amendments.
Case Title	Only required if a Case Number is present
Case Year	• Digits can be 0-9 and in YYYY format • Must be sent for case amendments
Court Code	• Must be a number, ranging from 1 to 58 • Must be sent for case amendments
District	**(CEB11) Branch: Court. EFiling Court Information** • Allowable values are determined by the Court Code selected. • Applicable when the Resource Type selected is "Department"
External Case Number	• CCMS Case Number and External Case Number are mutually exclusive. One or the other can be sent but not both. This is required if the V4 Case Number is not sent. • May be either the Legacy Case Number or the External Case Number • External Case Number and CCMS Case Number are mutually exclusive; only one may be provided. • Required when CCMS Case Number is not provided. • Must be sent for case amendments.
External Case Xref Number	• May either be the Legacy Case Number or the External Case 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** • Allowable values are determined by the District selected.
Participant Category	When Participant ID is sent, Participant Category must also be sent.

Referenced Element	Business Rule Description
Participant ID	• Must be numeric • When Participant ID is sent, Participant Category must also be sent.
Submitted Date/Time	Must be in format: YYYY-MM-DDThh:mm:ss.sss-offset
Submitter Information Branch	Must submit Person or Organization information, not both.
Success Response	
Echoes back the Request plus the following:	
Status	Only allowable value is "Received"

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 an "*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	
County	CountyCodeSimpleType
External Case Xref Type	ExternalCaseCodeSimpleType This exchange only allows the following enumerated values for this element: • Appellate Division Case Number = ADCN • Booking Number = BKGNMBR, BKNMBR, BOOKNUM • CDSS = CDSSNMBR • Citation Number = CITNUM, CTNNMBR • City Attorney Case File Number = CACFNUM, CTYATYCSFLNMBR • Companion = CMPNAIN • CWS Number = CWSNMBR • DA Case File Number = DACSNMBR, DCFNUM • DCA Appeals Case Number = DACNUM, DCAACN, DCAACNR • DCFS Case Number = DCFSNMBR • DCSS Case Number = DCSSCSNMBR • DCSS Participant Number = DCSSPRTNR • DR Number = DRNMBR, DRNUM • Filing Agency Case = FILEAGNCY • Fingerprint Card Number = FINGPRNT • Other = OTHR, OTHRNMBR, 205202 • Probation Case Number = PCNUM, PROCSNMBR • Public Defender Case Number = PDCN • Search Warrant Number = SWNUM • Sheriff's ID number = SHIDNUM, SHRFNMBR • Supreme Court Appeals Case Number = SUCOAPCN, SCACN • Trial Court Case Number = TCCN • Warrant Control Number = WARCONNUM, WRNTCNR • Warrant Number = WRNTNMBR, WRNTNO, WRNTNR
Participant Category	ParticipantCodeSimpleType
Success Response	
County	CountyCodeSimpleType

Element Name	AOC Code Schema Table Name
External Case Xref Type	ExternalCaseCodeSimpleType This exchange only allows the following enumerated values for this element: - Appellate Division Case Number = ADCN - Booking Number = BKGNMBR, BKNMBR, BOOKNUM - CDSS = CDSSNMBR - Citation Number = CITNUM, CTNNMBR - City Attorney Case File Number = CACFNUM, CTYATYCSFLNMBR - Companion = CMPNAIN - CWS Number = CWSNMBR - DA Case File Number = DACSNMBR, DCFNUM - DCA Appeals Case Number = DACNUM, DCAACN, DCAACNR - DCFS Case Number = DCFSNMBR - DCSS Case Number = DCSSCSNMBR - DCSS Participant Number = DCSSPRTNR - DR Number = DRNMBR, DRNUM - Filing Agency Case = FILEAGNCY - Fingerprint Card Number = FINGPRNT - Other = OTHR, OTHRNMBR, 205202 - Probation Case Number = PCNUM, PROCSNMBR - Public Defender Case Number = PDCN - Search Warrant Number = SWNUM - Sheriff's ID number = SHIDNUM, SHRFNMBR - Supreme Court Appeals Case Number = SUCOAPCN, SCACN - Trial Court Case Number = TCCN - Warrant Control Number = WARCONNUM, WRNTCNR - Warrant Number = WRNTNMBR, WRNTNO, WRNTNR
Participant Category	ParticipantCodeSimpleType
Status	Only allowable value is "Received"
Error Response	
Status	Allowable values are: - Error - Rejected
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

No indicator element allowable values are associated with this exchange.

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 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.

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