



# Service Description Document: CCMS Data Exchange ISS901

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COURT SENDS WARRANT  
ISSUANCE/RECALL NOTIFICATION  
JUNE 2011



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	<a href="#">Executive Summary</a>	Deloitte Consulting
9.0	June 2011	<a href="#">ISB and CCMS Data Exchange Overview</a>	Deloitte Consulting
9.0	June 2011	<a href="#">Data Exchange Functional Design Guidelines</a>	Deloitte Consulting
2.0.0	September 2011	<a href="#">Data Exchange Common Technical Requirements</a>	AOC
1.0.0	September 2011	<a href="#">ISS901 Data Exchange Specification</a>	Deloitte Consulting/AOC/SEARCH
9.0	July 2011	<a href="#">CCMS Data Exchange Errors</a>	Deloitte Consulting
1.0	July 2010	<a href="#">Court Policy File Overview</a>	AOC
N/A	September 2011	<a href="#">AOC Codes</a>	AOC/SEARCH
1.0	September 2011	<a href="#">Local Integration Assessment Methodology (LIAM)</a>	AOC
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 warrant issuances and recalls to an integration partner when any of the following actions are ordered by the trial court:

- A warrant is issued.
- A warrant is recalled.

Integration partners most likely to use this exchange include:

- Attorney General
- California Department of Revenue and Recovery
- City attorney
- District attorney – adult
- District attorney – juvenile
- Law enforcement agency/sheriff
- Probation – adult
- Probation - juvenile

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.

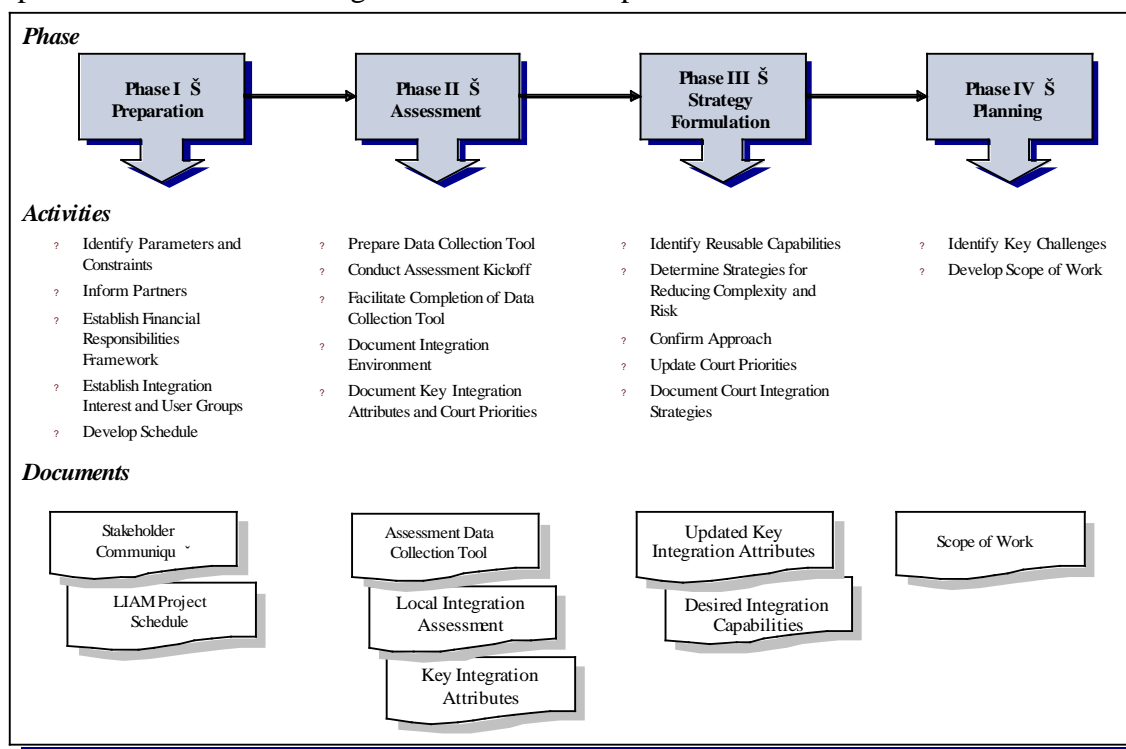


Figure 1. Implementation Phases

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](#)<sup>1</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>2</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.

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<sup>1</sup> <http://niem.gov/>

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

## 1.5 Risks

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

## 1.6 Conventions Used in this Document

### 1.6.1 Exchange naming convention

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

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

Where:

- *Application* is CCMS
- *Interface Number* consists of code name of functional area (two or three letters (e.g., “DOJ” for Department of Justice-related data exchanges)), and a three-digit number:
  - If the first digit is “8” then CCMS is receiving the data from an integration partner.
  - 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.
    - a.

## 2.0 Exchange Description

This section outlines the requirements and functional design for the ISS901 Send Warrant Issuance/Recall Notification data exchange. A trial court uses this NIEM-based data exchange to send warrant issuances and recalls to an integration partner when the trial court orders that a warrant be issued or recalled.

The response to this data exchange is returned from the integration partner indicating whether the warrant issuance or recall notification has been accepted or rejected. If the notification is accepted, warrant information is returned, (e.g., warrant control number).

### 2.1 Capabilities

This service provides the ability for a trial court (service consumer) to **send** a warrant issuance or recall notification to an integration partner (service provider), when the trial court orders that a warrant be issued or recalled.

### 2.2 Real World Effects

This service provides the ability for an integration partner (service provider) to **receive** a warrant issuance or recall notification when the trial court (service consumer) orders that a warrant be issued or recalled. Examples of its use include:

- A trial court issues an arrest warrant for a failure to appear or a failure to perform some other court-ordered action.
- A trial court sends a warrant status recall update when a person shows up in court.

### 2.3 Related Forms and Exchanges

#### 2.3.1 Business response exchanges

All exchanges subject to a court clerk review have corresponding “business response” exchanges that describe the outcome of the court clerk’s review.

- This data exchange is not subject to a clerk review; consequently, there are no business responses for this data exchange.

#### 2.3.2 Related exchanges

The related exchanges identify associated exchanges integration partners may use to modify, update, or complete a correlated business process.

- There are no related exchanges.

### **2.3.3 Related forms**

“Related forms” refers to forms, reports, or other documents currently used by courts and integration partners for the types of documents that may be included in this data exchange. This list is not exhaustive and is not an authoritative list of documents replaced by the data exchange; it is only for informational purposes.

Related forms include:

#### **Warrant - Issue Warrant**

- C-WARR-020 - Juvenile Bench Warrant
- C-WARR-030 - Protective Custody Warrant

#### **Warrant – Generate Warrant**

- C-WARR-050 - Bench Warrant of Attachment

#### **Generate Instruction Sheet**

- C-WARR-060 - Sheriff's Instruction Sheets

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

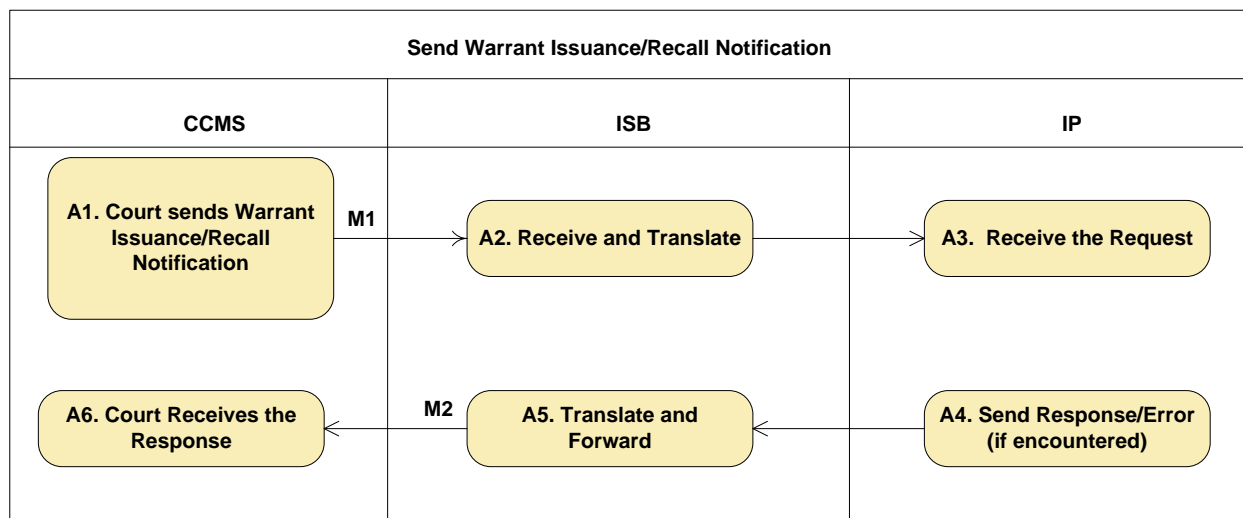


Figure 2. Court Sends Warrant Issuance/Recall Notification Activity Diagram

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

## 3.3 Messages

A data exchange message<sup>3</sup> is a complete package of information sent between the courts and an integration partner. This exchange includes two distinct types of messages.

1. Request message
  - a. The Request message contains the warrant information (e.g., CCMS case number, wanted person, warrant type) sent from a court to an integration partner.
2. Response messages
  - a. The Success Response message contains the warrant information response (warrant control number) sent from the integration partner to the court.
  - b. The Error Response message contains error and error description information indicating the warrant issuance or recall request message was not successful and corrective action is required.

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<sup>3</sup> 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**

A trial court sends a warrant issuance notification.

- Conditions = The *Order for Issuance* for the warrant exists in the CCMS.

A trial court sends a warrant recall notification.

- Conditions = The issued warrant exists in the CCMS.

### **4.2 Subsequent Events**

The integration partner is notified and updates its system with the warrant information.

- Conditions = None

CCMS stores the unique warrant control number received from the integration partner.

- Conditions = None



## 5.0 Data Exchange Errors and Exceptions

The document titled “*CCMS Data Exchange Errors*” contains all exchange specific errors that may occur between an integration partner and CCMS. It includes three sections that list error codes, names, and descriptions for each type below.

- **Transient and Non-Transient Errors** may occur while the message is processed by the ISB.
- **Functional Errors** may occur while processing messages in the ISB or CCMS.
- **Transactional Errors** may occur while processing a message in CCMS according to the Business Rule validations identified in [Section 6.0 Additional Business Rules and Processes](#).



## 6.0 Additional Business Rules and Processes

This section contains additional business rules and process requirements for an integration partner to successfully send or receive information from CCMS. The content of this section reflects specific rules that either cannot or are not enforced in the technical specifications that accompany the onboarding documents, specifically the mapping spreadsheets, exchange schemas, and code schemas. Integration partners must rely on this information to produce and consume valid messages exchanged with CCMS.

### 6.1 Business Rules

Table 1. Business Rules

Referenced Element	Business Rule Description
Attachment	Must be a PDF document.
Bail Amount	<ul style="list-style-type: none"> <li>Must be a valid numeric field</li> <li>When Role is "Child," Bail Amount is zero.</li> </ul>
Charge Degree	Allowable values are: <ul style="list-style-type: none"> <li>First</li> <li>Second</li> <li>Third</li> </ul>
Court Resource First Name	Applicable values are the Judicial Officer names associated with the court location.
Court Resource Last Name	Applicable values are the Judicial Officer names associated with the court location.
Court Resource Middle Name	Applicable values are the Judicial Officer names associated with the court location.
Court Resource Suffix	Applicable values are the Judicial Officer names associated with the court location.
DBA Name	<ul style="list-style-type: none"> <li>Last Name and DBA Name are mutually exclusive.</li> <li>When Role is "Child," Release Condition defaults to "No Bail" and Bail Amount is set to zero.</li> </ul>
Issued Against Role	<ul style="list-style-type: none"> <li>When Role is "Child," Release Condition defaults to "No Bail" and Bail Amount is set to zero.</li> <li>Warrant Issued Against – Name is applicable when Issued Against Role is provided.</li> </ul>
Last Name	<b>Branch: Court. Case. Participant. Other Names. Person</b> <ul style="list-style-type: none"> <li>Last Name and DBA Name are mutually exclusive.</li> </ul>
	<b>Branch: Court. Case. Participant. Issued Against Participant Name. Issued Against Person</b> <ul style="list-style-type: none"> <li>Required when Participant Name Case Type is not "DBA" or "FDBA" for a person</li> </ul>
Organization Name	Required when the participant is not a person.
Release Condition	<ul style="list-style-type: none"> <li>When Release Condition is "Commit," Comments is used to enter the number of days or hours when the appearance must be made.</li> <li>When Role is "Child," Release Condition defaults to "No Bail" and Bail Amount is set to zero.</li> </ul>
Warrant Held Until	When Order Status is "Held" and Warrant Held Until date is present, warrant cannot be issued until the date has passed.

Warrant Status	<ul style="list-style-type: none"> <li>When Warrant Status is “Held,” the Held Until Date is applicable.</li> <li>When the Warrant Status is “Held,” the Save and Issue button is not applicable.</li> </ul>
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## 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 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
<b>Request</b>	
Address Type	AddressTypeCodeSimpleType
Case Status	CaseStatusCodeSimpleType
Count Type	CountCodeSimpleType
Country	CountryCodeSimpleType
Date of Birth Type	DOBCodeSimpleType
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"> <li>Booking Number = BKNMBR</li> <li>Citation Number = CTNNMBR</li> <li>DA Case File Number = DACSNMBR</li> <li>DR Number = DRNUM</li> <li>Filing Agency Case = FILEAGNCY</li> <li>Fingerprint Card Number = FINGPRNT</li> <li>Probation Case Number = PROCSNMBR</li> <li>Public Defender Case Number = PDCN</li> <li>Warrant Control Number = WARCONNUM</li> </ul>
Eye Color	EyeColorCodeSimpleType
Gender	GenderCodeSimpleType
Hair Color	HairColorCodeSimpleType
ID Country	CountryCodeSimpleType

Element Name	AOC Code Schema Table Name
ID County	CountyCodeSimpleType
ID State	StateCodeSimpleType
ID Type	IDCodeSimpleType – this exchange only allows the following enumerated values for this element: <ul style="list-style-type: none"> <li>• AFIS Number = AFISNUM</li> <li>• Badge Number = BNUM</li> <li>• Bar Number = BARNUM</li> <li>• California State ID = CALSTATEID</li> <li>• CDC Number = CDCNUM</li> <li>• CII/SID Number = CIINUM</li> <li>• County ID Number = COUNTYID</li> <li>• DA Number = DANUM</li> <li>• Death Certificate Number = DCNUM</li> <li>• Driver's License Number = DL</li> <li>• Employee ID Number = EMPIDNUM</li> <li>• FBI Number = FBINUM</li> <li>• LEA Number = LEANUM</li> <li>• ORI Number = ORINUM</li> <li>• Sheriff's Bureau of Identification Number = SBID</li> </ul>
Issued Against Role	ParticipantRoleCodeSimpleType
Offense Level	OffenseLevelCodeSimpleType
Participant Case Name Type	NameCodeSimpleType
Participant Type	ParticipantCodeSimpleType
Plea	PleaCodeSimpleType
Race	RaceCodeSimpleType
Scar Mark Tattoo Code	ScarsMarksTattoosCodeSimpleType
Scar Mark Tattoo Identifier	ScarsMarksTattoosItemCodeSimpleType
Scar Mark Tattoo Location	ScarsMarksTattoosBodyPartCodeSimple
Side of Body	ScarsMarksTattoosSideCodeSimpleType
State	StateCodeSimpleType
Street Direction	StreetDirectionCodeSimpleType
Street Type	StreetCodeSimpleType
Vehicle State	StateCodeSimpleType
Warrant Offense level	OffenseLevelCodeSimpleType
Warrant Status	WarrantStatusCodeSimpleType
<b>Error Response</b>	
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:

- Court Resource First Name
- Court Resource Last Name
- Court Resource Middle Name
- Court Resource Suffix

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:

- CCP 1993.1 Indicator
- Confinement Indicator
- Extradition Order Indicator
- ID Commercial License Indicator
- Inactive Indicator
- Legacy Case Indicator
- Night Service Indicator
- Penal Code 1275.1 Indicator
- Primary Indicator
- Primary Vehicle Indicator
- Security Risk Indicator

## **6.3 Business Processes**

There are no additional business processes 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*.” In addition, AOC will use the following data elements’ rules to route this exchange to an integration partner:

- Case category
- Case type
- Court code
- Data exchange name

### 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.

- This message is retransmitted every 10 minutes up to three times.

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

