



Service Description Document: CCMS Data Exchange PF901

COURT SENDS CASE PARTICIPANT
DEMOGRAPHIC INFORMATION
NOTIFICATION
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ADMINISTRATIVE OFFICE
OF THE COURTS

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Revision History

Version	Date	Author	Description of Changes
1.0.0	June 2011	B. McGuire	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	PF901 Data Exchange Specification	Deloitte Consulting/AOC/SEARCH
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 a trial court to successfully send case participant demographic notification information to an integration partner.

Integration partners most likely to use this data exchange include:

- Attorney General
- City attorney
- City council
- Collection agency vendors
- County counsel
- Department of Revenue and Recovery
- Department of Social Services
- District attorney – adult
- District attorney – juvenile
- Probation – adult
- Probation – juvenile
- Public defender/ alternate public defender/ entity panel

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 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.

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.

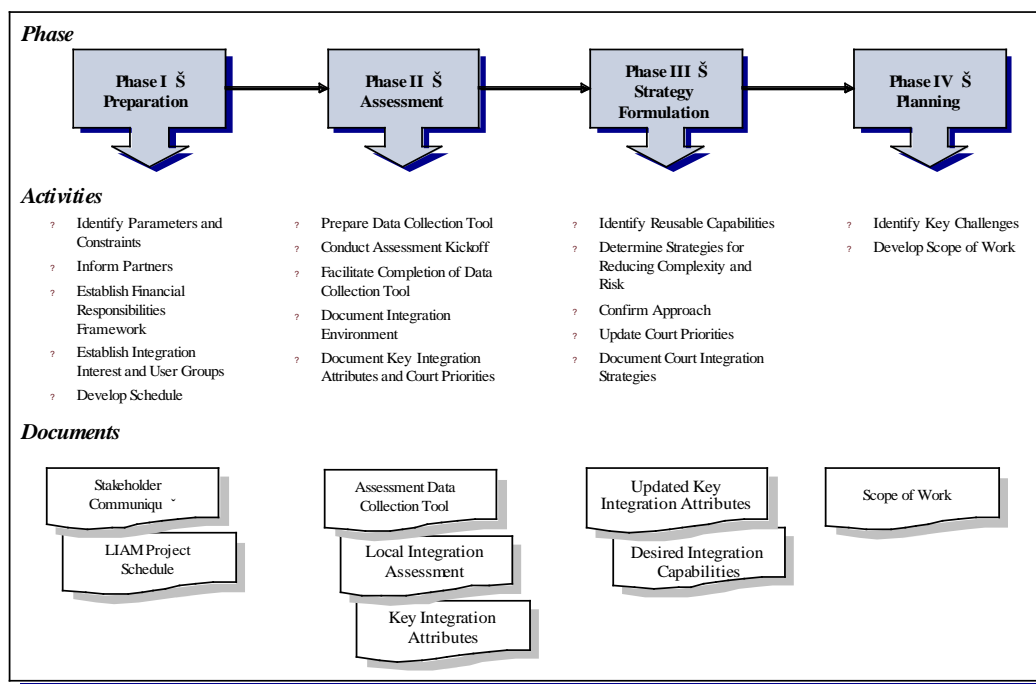


Figure 1. Implementation Phases

¹ <http://www.it.ojp.gov/default.aspx?area=nationalInitiatives&page=1015#RefSSPs>

As an alternative, an integration partner can choose to participate in the LIAM Light assessment. 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.

² <http://niem.gov/>

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

- 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:
 - 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.
 - CCMS sends data to the integration partner.

2.0 Exchange Description

This section outlines the requirements and functional design for the PF901 Send Case Participant Demographic Information Notification data exchange. A trial court uses this NIEM-based data exchange to send case participant demographic information to an integration partner.

This data exchange does not include a functional success response message, but the 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) the ability to **send** case participant demographic information to an integration partner (service provider).

Some examples of demographic information the trial court could add, update, or remove for case participants include:

- DBA or AKA name
- Mailing address
- Phone number
- Family relationship

2.2 Real World Effects

This service provides an integration partner (service provider) the ability to **receive** case participant demographic information sent from a trial court (service consumer).

2.3 Related Forms and Exchanges

2.3.1 Business response exchanges

The related exchange in this section identifies associated exchanges integration partners may use to modify, update, or complete a correlated business process. All amended and additional case filings are received by the trial court.

- 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.

- 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 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 demographic information (notification) request message to the ISB.
2. The ISB receives the request, performs schema validation, translates the message to NIEM schema standard and forwards the request message to an 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 encountered, the integration partner sends the error response to the ISB.
5. The ISB receives the error response message, performs schema validations, facilitate schema validation to the California Judicial Branch XML schema standard and forwards the error response message to CCMS.
6. CCMS receives the error response message and takes appropriate action.

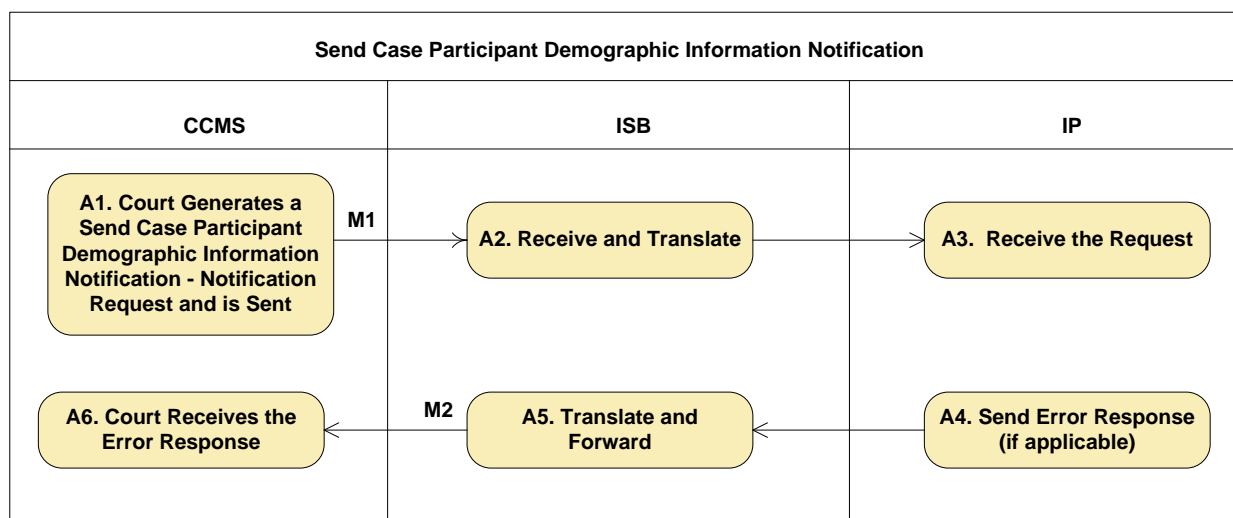


Figure 2. Court Sends Case Participant Demographic Information Notification Activity Diagram

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 message⁴ 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 the notification – demographic information, (e.g., CCMS case number, participant name, participant address) sent from the trial court to the integration partner.
2. Response message
 - a. 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.

4.0 Exchange Context

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

4.1 Triggering Events

The trial court sends demographic information (additions, updates, and deletions).

- Conditions = The participant must be on a case with an Active status in CCMS.
- Conditions = Only changes to the case default version of the following information will be sent: name, phone number, address, identification, e-mail, birth information, family unit information, and physical descriptor information.

The trial court sends family unit information (additions, updates, and deletions).

- Conditions = The participant must be on a case with an Active status in CCMS.
- Conditions = Only changes to the case default version of the following information will be sent: name, phone number, address, identification, e-mail, birth information, family unit information, and physical descriptor information.

4.2 Subsequent Events

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

- 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
Add/Update/Remove Indicator	Allowable values are: <ul style="list-style-type: none"> • A = Add • U = Update • R = Remove
Birth Country	Only valid when Category is "Person"
Birth State	<ul style="list-style-type: none"> • Only valid when Category is "Person" • Disabled when the Country is not "United States of America"
Build	Only valid when Category is "Person"
Country	<ul style="list-style-type: none"> • Required for the following ID Types: <ul style="list-style-type: none"> ○ Passport Card Number ○ Passport Number • When Address type is International Address, United States of America is not an applicable selection • Does not display when Address Type is: <ul style="list-style-type: none"> ○ Military A.P.O. Box ○ Military F.P.O. Box
County	Required for the following ID Types: <ul style="list-style-type: none"> • County ID Number • Death Certificate Number • Other ID Card Number • Probation Department Juvenile (PDJ) Number • Probation Number
Date of Birth	<ul style="list-style-type: none"> • Only valid when Category is "Person" • Must be in date format: MM/DD/YYYY
Date of Birth Source	Only valid when Category is "Person"
Date of Birth Type	Only valid when Category is "Person"
Eye Color	Only valid when Category is "Person"
First Name	Only valid when Person/Entity Category is "Person"
Gender	Only valid when Category is "Person"
Hair Color	Only valid when Category is "Person"

Referenced Element	Business Rule Description
Height	<ul style="list-style-type: none"> Required if Height in Inches is entered Must be an integer greater than zero Only valid when Category is "Person"
ID Expiry Date	Must be in date format: MM/DD/YYYY
ID Type	<ul style="list-style-type: none"> Required if ID Number is populated Only the following ID Types can be used as Case Defaulted Identifiers: <ul style="list-style-type: none"> CII Number Driver's License Number FBI Number INS Number NCIC Number Sheriff's Bureau of Identification Number Social Security Number
Last Name	<ul style="list-style-type: none"> Required if participant is not an Entity/Organization Only valid when Person/Entity Category is "Person"
Middle Name	Only valid when Person/Entity Category is "Person"
Organization Name	Required if participant is not a Person
Race	Only valid when Category is "Person"
Relationship Start Date	Must be in date format: MM/DD/YYYY
Relationship End Date	Must be in date format: MM/DD/YYYY
Skin Tone	Only valid when Category is "Person"
State	Required if Driver's License Number is populated
Suffix	Only valid when Person/Entity Category is "Person"
Weight	<ul style="list-style-type: none"> Only valid when Category is "Person" Must be a numeric, positive value
ZIP Code	<ul style="list-style-type: none"> Required when the Country is "United States of America" When the Country is "United States of America", validate that the zip code is five digits (nine digits can still be entered but validation is only against the first five digits) When the Country is "United States of America", validate the zip code is a valid zip code in the database When the Country is "United States of America", the standard input format is: XXXXX. Example: 12345. When the Country is NOT the "United States of America", there are no validations and there is no standard input

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, 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	
Address Type	AddressTypeCodeSimpleType
Birth Country	CountryCodeSimpleType
Birth State	StateCodeSimpleType
Build	PersonBuildCodeSimpleType
Country	CountryCodeSimpleType
County	CountyCodeSimpleType
Date of Birth Type	DOBCodeSimpleType
External Case Xref Type	ExternalCaseCodeSimpleType This exchange only allows the following enumerated values for this element: <ul style="list-style-type: none"> • Booking Number = BKNMBR • Citation Number = CTNNMBR • DA Case File Number = DACSNMBR • DR Number = DRNUM • Filing Agency Case = FILEAGNCY • Fingerprint Card Number = FINGPRNT • Probation Case Number = PROCSNMBR • Public Defender Case Number = PDCN • Warrant Control Number = WARCONNUM
Eye Color	EyeColorCodeSimpleType

Element Name	AOC Code Schema Table Name
Gender	GenderCodeSimpleType
Hair Color	HairColorCodeSimpleType
ID Country	CountryCodeSimpleType
ID State	StateCodeSimpleType
ID Type	IDTypeCodeSimpleType This exchange only allows the following enumerated values for this element: <ul style="list-style-type: none"> • AFIS Number = AFISNUM • Badge Number = BNUM • Bar Number = BARNUM • California State ID = CALSTATEID • CII/SID Number = CIINUM • County ID Number = COUNTYID • DA Number = DANUM • Death Certificate Number = DCNUM • Driver's License Number = DL • Employee ID Number = EMPIDNUM • FBI Number = FBINUM • LEA Number = LEANUM • ORI Number = ORINUM • Sheriff's Bureau of Identification Number = SBID
Participant Case Name Type	NameCodeSimpleType
Participant Role	ParticipantRoleCodeSimpleType
Participant Type	ParticipantCodeSimpleType
Participant Phone Number Type	PhoneCodeSimpleType
Race	RaceCodeSimpleType
Skin Tone	SkinToneCodeSimpleType
State	StateCodeSimpleType
Street Direction	StreetDirectionCodeSimpleType
Street Type	StreetCodeSimpleType
Error Response	
Error Code	See "CCMS Data Exchange Errors" for a list of errors.
Error Description	See "CCMS Data Exchange Errors" for a list of 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

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.

These schemas are the authoritative source for the indicator allowable values:

- ID Commercial License Indicator
- International Indicator
- Participant Sealed Indicator
- Primary Indicator

6.3 Business Processes

There are no additional business processes that impact the exchange.

6.4 Data Classification

At the time of this writing, no security classifications or restrictions to the data contained in this exchange have been identified.

6.4.1 Privacy considerations

At the time of this writing, no specific privacy considerations for the content contained in this exchange have been identified.

7.0 ISB Message Processing

7.1 Routing

The ISB performs message routing for this exchange. Routing rules are based on the content contained in the Common Service Header, described in the “*CCMS Data Exchange: Common Technical Requirements*.” In addition, AOC will use the following data elements’ rules to route this exchange to an integration partner:

- Court Code
- DX Name
- Case Category
- Case Type
- Filing Agency
- DCSS Involved Indicator

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.

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
CCPOR	California Courts Protective Order Registry
CCTC	California Courts Technology Center
CEB	Common Element Block
DI	Data Integration
F&F	Fees and Fines
FTA	Failure To Appear
IPs	Integration Partners
ISB	Integration Services Backbone
LIAM	Local Integration Assessment Methodology
NIEM	National Information Exchange Model
OWSM	Oracle Web Services Management
RRA	Request Reply Asynchronous
RRS	Request Reply Synchronous
SDD	Service Description Document
SLA	Service Level Agreement
SME	Subject Matter Experts
URL	Universal Resource Locator
WSDL	Web Services Description Language
XML	Extensible Markup Language

