



BJA
Bureau of Justice Assistance
U.S. Department of Justice

Global Reference Architecture

Statewide Automated Victim Information and Notification (SAVIN)

Victim Notification (VN) Service Message Processing Requirements Master Document

Version 1.0.0

December 2012



Global
Information
Sharing Standard

Global Standards

The collection of Global-recommended normative standards has been developed and assembled into a unified package of composable, interoperable solutions that enable effective information exchange. This collection is known as the Global Standards Package (GSP). GSP solutions are generally focused on resolving technical interoperability challenges but also include associated guidelines and operating documents to assist implementers. The GSP includes artifacts associated with many of the Global product areas, including but not limited to:

- **Global Reference Architecture (GRA):** Offers guidance on the design, specification, and implementation of services (and related infrastructure) as part of a justice Service-Oriented Architecture (SOA).
- **Global Service Specification Packages (SSPs):** Reference services that are reusable nationwide in order to save time and money and reduce complexity when implementing particular information exchanges with external partners.
- **Global Federated Identity and Privilege Management (GFIPM):** Guidelines and standards for establishing, implementing, and governing security, identity management, and access control solutions to ensure that information can be accessed only securely and appropriately.
- **Global Privacy Technology Framework:** A framework for automating information access controls based on privacy and related policies restricting the use or dissemination of such information.

For More Information

For more information on the GSP and the Global Standards Council (GSC)—the Global group responsible for developing, maintaining, and sustaining the same—please visit <http://www.it.ojp.gov/gsc>.

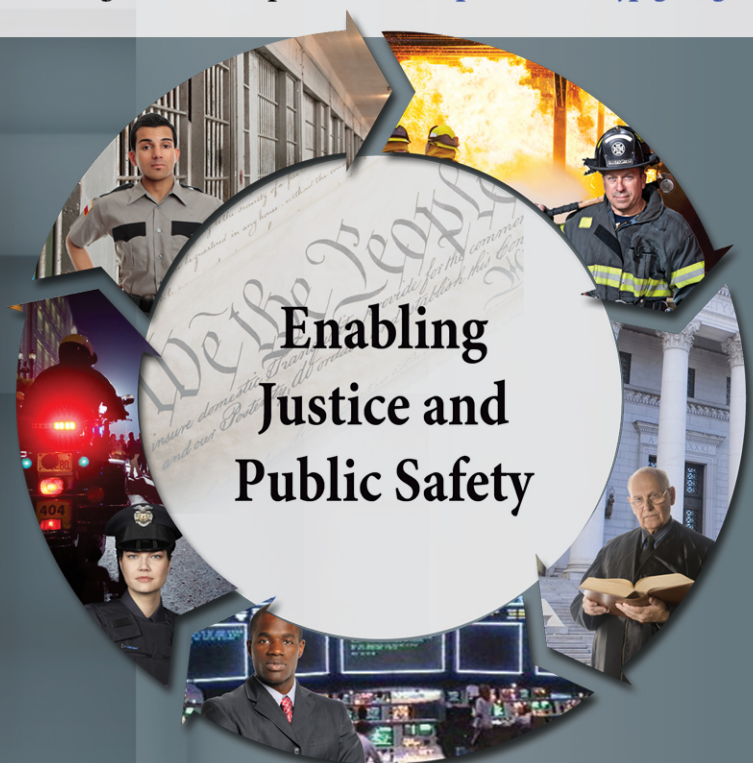


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1. Overview

1.1 Purpose

The Victim Notification (VN) Service is designed to supply a standard for providing timely information and notification of key events to victims.

1.2 Description

The Victim Notification (VN) Service facilitates cross-jurisdictional data sharing to inform victim(s) about an offender's/justice-involved individual's interaction with the criminal justice system. This service can facilitate the ability to share offender/justice-involved individual information and provide notification information. Specific interactions with an offender/justice-involved individual result in information being sent to a victim information and notification system/provider. The details will include information about the agency involved, relevant dates, identifiers (e.g., case number, ID number), and the disposition or status of the event.

1.3 Approach

Victim information and notification systems/providers vary significantly depending on the jurisdiction or program. Whether the system is a commercial product or a custom-built application, victim information and notification systems/providers occasionally send notifications to victims that are erroneous, confusing, untimely, or redundant.

Even though the focus of the VN service is the information exchange between submitting agencies that are responsible for providing offender/justice-involved individual and notification information and victim information and notification systems/providers, every message that is submitted will include elements designed to assist the victim information and notification system/provider in processing the data. Submitting agencies that are responsible for providing offender/justice-involved individual and notification information sometimes have data that can assist the victim information and notification system/provider in making a business decision on whether a victim notification is redundant or timely, or whether that particular message has an interaction with another message. Without that knowledge, a victim information and notification system/provider may not have the ability to accurately process the message that was submitted. Statutory requirements are strict, and from a victim service perspective, victim information and notification systems/providers tend to err on the side of overnotification as opposed to failing to notify.

This document is designed to assist submitting agencies that are responsible for providing offender/justice-involved individual and notification information in delivering pertinent information about the message itself, so that a victim information and notification system/provider can process the message accurately.

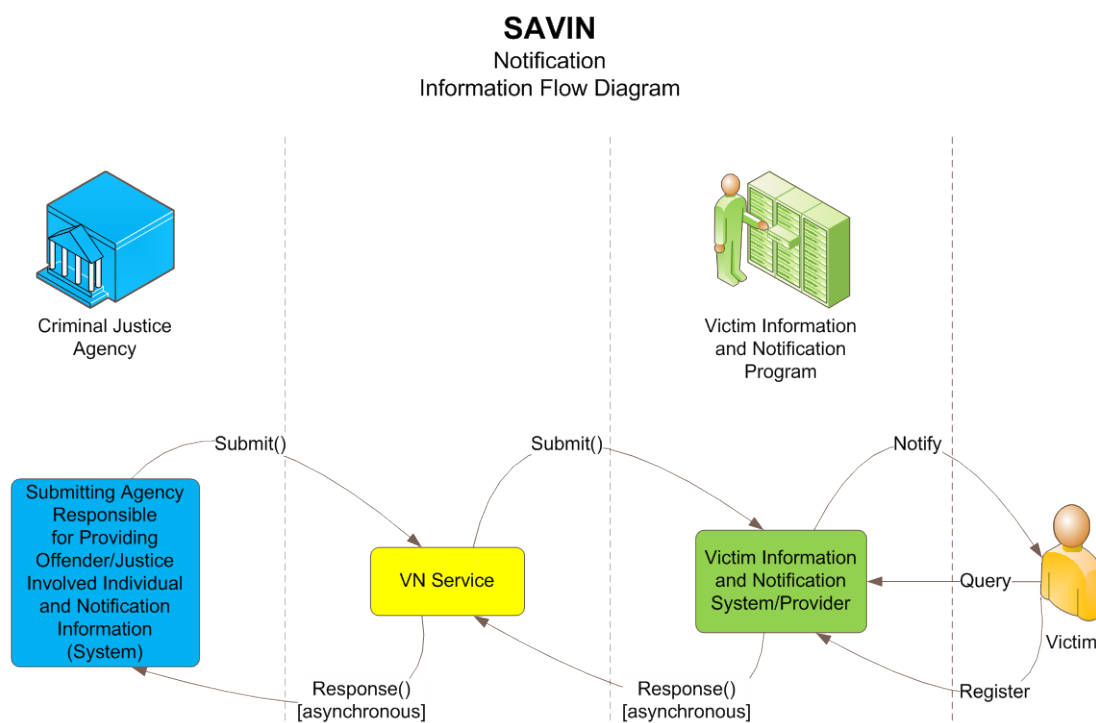


Figure 1: SAVIN Notification Information Flow Diagram

2. Elements

2.1 Event Type—An Event in Which the Message Submission Originates in This Type of Agency

An event type element is required on every message submitted (one per message) to a victim information and notification system/provider. This element equates to the agency that is sending the message and is meant to provide the initial filter for the victim information and notification system/provider during the processing of the message. This code list can be expanded to include more specific units within an agency if necessary (e.g., prosecution/victim services, prosecution/state's attorney). This will allow for scenarios in which an agency may have multiple roles in the process (e.g., court notifications may fall under the responsibility of the prosecution system).

The default list is provided below.

Attorney General	Attorney General agencies
Corrections	Corrections agencies
Court	Court agencies
Interstate Compact	Interstate Compact Offender Tracking System (ICOTS)

Jail	Jail agencies
Law Enforcement	Law enforcement agencies
Message Response	Response message only
Parole Board	Parole board agencies
Prosecution	Prosecution agencies
State Hospital	State hospital agencies
Supervision	Supervision agencies

2.2 Event Subtype—A Further Categorization of the Event Type

An event subtype element is required on every message submitted (one per message) to a victim information and notification system/provider. This element equates to the triggering event within the agency that is sending the message. This code list can be expanded to include additional triggering events if necessary.

The default list is provided below.

Accept Transfer	ICOTS event	Information
Add/Update Conditions	Supervision event	Status update
Appeal Decision	Court or Attorney General event	Information
Appeal Filed	Court or Attorney General event	Information
Arrival	ICOTS event	Movement
Bond Reduction	Court event	Status update
Change of Venue	Court event	Information
Charging Decision	Prosecution event	Information
Court Hearing	Court or prosecution event	Hearing notice
Death	Prosecution event	Internal or information
Deny Transfer	ICOTS event	Information
Departure	ICOTS event	Movement
Disposition	Court event	Information
Document Service	Law enforcement event	Information
Escape	Jail, corrections, state hospital event	Status update
Failed to Deliver Message	Message response event	Internal
Hearing Decision	Court or parole board event	Information

Message Successfully Delivered	Message response event	Internal
Parole Board Hearing	Parole board event	Hearing notice
Parole Eligibility	Corrections or parole board event	Information
Prerelease Notification	Jail or corrections event	Information
Presentence Investigation	Court or supervision event	Information
Recapture	Jail, corrections, state hospital event	Status update
Release	Jail, corrections, state hospital, supervision event	Status update
Release to Supervision	Jail or corrections event	Status update
Request ICOTS Transfer	ICOTS event	Information
Retaking	ICOTS event	Movement
Return From Absconding	Supervision event	Status update
Sentencing	Court event	Status update
Supervision Violation	Supervision event	Information
Temporary Travel Order	ICOTS event	Movement
Unsupervised Custody Release	Jail event	Status update
Victim Impact Hearing	Court or parole board event	Hearing notice

2.3 Notification Type—A General Categorization of the Type of Message Submitted

A notification type element is required on every message (one per message) submitted to a victim information and notification system/provider. This element list contains general categorizations for the message submitted, as it pertains to the victim, offender/justice involved individual, or both. This is a secondary filter for the victim information and notification system/provider to use during the processing of the message. This code list can be expanded to include additional categorizations if necessary.

The default list is provided below.

Hearing Notice	Any hearing from any agency
Information	Informational message only
Internal	For internal use—not necessarily for the victim

Movement	Offender/justice-involved individual has moved in the system
Status Update	Update to the offender's/justice-involved individual's status

2.4 Notification Subtype—A Further Categorization of the Notification Type

At least one notification subtype element is required on every message submitted to a victim information and notification system/provider. The model supports multiple notification subtype elements to provide additional granularity to the message. Each notification subtype element will be associated with 0 to many notification validation elements (below). This element is designed to provide the victim information and notification system/provider with a starting point for validation(s). This code list can be expanded to include additional categories if necessary.

The default list is provided below.

Do Not Validate	Do not validate this element
Expect Subsequent Event	Mark this record to expect future messages
Validate	Validate this element

2.5 Notification Validation—The Validation Criteria the Victim Information and Notification System Should Use to Process the Message

Any number of notification validation elements (0 to unbounded) can be included in a message submitted to a victim information and notification system/provider. Notification validation elements must be associated with a Notification Subtype element. One notification subtype element can be associated with 0 to many notification validation elements. This code list can be expanded to include additional validation criteria if necessary.

The default list is provided below.

Date	Validate a date in the message
Other Information	Validate other data
Previous Event	Verify a previous message

3. Examples

Message with no validation (corrections event)

```
<vn:SubmitMessage...>
  ...
  <vn-ext:CorrectionsEvent s:id="ACTIVITY">
    ...
    <vn-ext:EventType>Corrections</vn-ext:EventType>
    <vn-ext:EventSubtype>Escape</vn-ext:EventSubtype>
    <vn-ext:NotificationType>Status Update</vn-ext:NotificationType>
    <vn-ext:NotificationSubtype s:id=" NotificationSubtype 001">Do Not Validate</vn-ext:NotificationSubtype>
    ...
  </vn-ext:CorrectionsEvent>
  ...
</vn:SubmitMessage>
```

In some hypothetical implementation, the victim information and notification system/provider may process the “Do Not Validate” tag to mean “Always forward this type of message to the victim(s).”

Message with multiple validations (jail event)

```
<vn:SubmitMessage...>
  ...
  <vn-ext:JailEvent s:id="ACTIVITY">
    ...
    <vn-ext:EventType>Jail</vn-ext:EventType>
    <vn-ext:EventSubtype>Recapture</vn-ext:EventSubtype>
    <vn-ext:NotificationType>Status Update</vn-ext:NotificationType>
    <vn-ext:NotificationSubtype s:id="NotificationSubtype001">Validate</vn-ext:NotificationSubtype>
    <vn-ext:NotificationValidation s:id="NotificationValidation001">Date</vn-ext:NotificationValidation>
    <vn-ext:NotificationValidation s:id="NotificationValidation002">Previous Event</vn-ext:NotificationValidation>
    ...
  </vn-ext:JailEvent>
  ...
  <vn-structures:RelatedAssociations>
    <vn-ext:NotificationSubtypeValidationAssociation>
      <vn-ext:NotificationSubtypeReference s:ref="NotificationSubtype001"/>
      <vn-ext:NotificationValidationReference s:ref="NotificationValidation001"/>
    </ vn-ext:NotificationSubtypeValidationAssociation >
    <vn-ext:NotificationSubtypeValidationAssociation>
      <vn-ext:NotificationSubtypeReference s:ref="NotificationSubtype001"/>
      <vn-ext:NotificationValidationReference s:ref="NotificationValidation002"/>
    </ vn-ext:NotificationSubtypeValidationAssociation >
  </ vn-structures:RelatedAssociations >
  ...
</vn:SubmitMessage>
```

In some hypothetical implementation, the victim information and notification system/provider may process the “Date” tag to mean “Verify that the date is within some date range before sending this notification to the victim(s)”, and the “Previous Event” tag to mean “Verify that there was a previous message on this offender/justice-involved

individual/case with an Event Type = Jail, an Event Subtype = Escape, and a Notification Type = Status Update before sending this notification to the victim(s).”

Message with multiple notification subtypes and validation (prosecution event)

```
<vn:SubmitMessage...>
...
<vn-ext:ProsecutionEvent s:id="ACTIVITY">
...
<vn-ext:EventType>Prosecution</vn-ext:EventType>
<vn-ext:EventSubtype>Court Hearing</vn-ext:EventSubtype>
<vn-ext:NotificationType>Hearing Notice</vn-ext:NotificationType>
<vn-ext:NotificationSubtype s:id="NotificationSubtype001">Validate</vn-ext:NotificationSubtype>
<vn-ext:NotificationSubtype s:id="NotificationSubtype002">Expect Subsequent Event</vn-ext:NotificationSubtype>
<vn-ext:NotificationValidation s:id="NotificationValidation001">Date</vn-ext:NotificationValidation>
...
</vn-ext:ProsecutionEvent>
...
<vn-structures:RelatedAssociations>
<vn-ext:NotificationSubtypeValidationAssociation>
<vn-ext:NotificationSubtypeReference s:ref="NotificationSubtype001"/>
<vn-ext:NotificationValidationReference s:ref="NotificationValidation001"/>
</ vn-ext:NotificationSubtypeValidationAssociation >
</ vn-structures:RelatedAssociations >
...
</vn:SubmitMessage>
```

In some hypothetical implementation, the victim information and notification system/provider may process the “Date” tag to mean “Verify that the date is within some date range before sending this notification to the victim(s).”

4. Message Validation

Every message that is submitted to a victim information and notification system/provider will include elements designed to assist the victim information and notification system/provider in processing the data.

The following general validation rules must be applied to all messages requiring validation.

Duplicate messages will not be delivered to victims.

This includes scenarios in which a duplicate message is submitted or a message is submitted/cancelled/resubmitted with inconsequential edits.

Multiple offenders/justice-involved individuals per victim results in one notification to a victim per agency event.

Distinct events per offender/justice-involved individual will have separate notifications to victims. For example, two offenders/justice-involved individuals assault one victim. Offender/justice-involved individual Number 1 schedules a court hearing on the 12th of the

month. Offender/justice-involved individual Number 2 schedules a court hearing on the 13th of the month. This results in two notifications to the victim. However, if both offenders/justice-involved individuals schedule court hearings on the 14th at 10:00 a.m., only one notification will be delivered to the victim for both offenders/justice-involved individuals.

Messages with action dates must be validated.

Victim information and notification systems/providers must validate that the action date pertaining to this information is within some predetermined date range. Victim information and notification systems/providers must maintain administrative functionality to limit the date range in which notifications will be delivered. This functionality is implementation-driven with no specific maximum or minimum requirement. Messages that are beyond the administrative date range (i.e., too far in the future) must be flagged for review based on the administrative date range criteria, the pertinent message date, and any subsequent messages that come in.

Action dates which occurred in the past should not result in a notification to the victim(s). For example, a hearing date in the past should not result in a notification. Implementers must note that relevant notifications can in fact cross dates. For example, an escape that may have occurred at 11:59 p.m. should result in a notification if the message is received by the victim information and notification system/provider at 12:01 a.m. (the next day).

The notification type, notification subtype, and notification validation input values and their interactions must be validated using the following rules.

4.1 Notification Type

4.1.1 Hearing Notice

4.1.1.1 Date

Victim information and notification systems/providers must validate that the actual date a hearing is to take place is within some predetermined date range. For example, some courts schedule hearings many months in advance. These dates often change along the way as well. Victims can get confused if they receive a hearing notice ten months in advance and then a notice every time the date changes. The administrative date range functionality listed above must be applied.

4.1.1.2 Previous Event

Victim information and notification systems/providers must validate that a hearing notice corresponds with a clear order of events. For example, a parole hearing cannot occur before an offender/justice-involved individual is sent to prison, a sentencing hearing cannot

occur before a finding of guilt, etc. This validation is very jurisdiction-specific; however, a clear method for validation must be documented and in place.

4.1.2 Information

4.1.2.1 Date

The administrative date range functionality listed above must be applied.

4.1.3 Internal

4.1.3.1 Date

If an internal message will be forwarded to a victim as a notification, the administrative date range functionality listed above must be applied.

4.1.4 Movement

4.1.4.1 Date

The administrative date range functionality listed above must be applied.

4.1.4.2 Previous Event

Victim information and notification systems/providers must maintain a “Current Location” field for an offender/justice-involved individual/case record. When processing a message where the notification type value is [Movement], the system must validate that the new location is a valid change from the current location. Suppose, for example, that an offender/justice-involved individual whose current location is “State Prison” is transferred from corrections to a local jail for a court hearing, which results in a transfer message from corrections to the victim information and notification system/provider. This results in an update to the victim information and notification system to show that the offender’s/justice-involved individual’s current location is “Local Jail.” In this example, the transfer message must be validated against the current location of “State Prison” (or a synonymous term) before the notification is sent to the victim(s).

4.1.4.3 Other Information

Victim information and notification systems/providers must validate that the movement of an offender/justice-involved individual within the justice system is a logical event. For example, when an offender/justice-involved individual is transported from the local jail to prison to serve his or her sentence, the victim should receive a notification from corrections upon intake, as opposed to two notifications, one from the jail upon release and the second

from corrections upon arrival. This validation is very jurisdiction-specific; however, a clear method for validation must be documented and in place.

4.1.5 Status Update

4.1.5.1 Date

The administrative date range functionality listed above must be applied.

4.1.5.2 Previous Event

Victim information and notification systems/providers must maintain a “Current Status” field for an offender/justice-involved individual/case record. When processing a message where the notification type value is [Status Update], the system must validate that the new status is a valid change from the current status. Say, for example, that an offender/justice-involved individual whose current status is “Waiting for Sentencing” is sentenced to prison and transferred, which results in a message from corrections to the victim information and notification system/provider. This results in an update to the victim information and notification system to show the offender’s/justice-involved individual’s current status is “Incarcerated.” The offender/justice-involved individual escapes, which results in an escape message from corrections to the victim information and notification system/provider. This results in an update to the victim information and notification system to show that the offender’s/justice-involved individual’s current status is “Escapee.” In this example, the escape message must be validated against the current status of “Incarcerated” (or a synonymous term) before the notification is sent to the victim(s).

4.2 Notification Subtype

4.2.1 Expect Subsequent Event

If a subsequent event is expected, this record must be flagged so subsequent messages that validate on “Previous Event” can be validated. For example, if an appeal is filed, the result is a message from the Attorney General to the victim information and notification system/provider. This message will include a notification subtype tag (`<vn-ext:NotificationSubtype s:id="NotificationSubtype001">Expect Subsequent Event</vn-ext:NotificationSubtype>`), and the record will be flagged. When the appeal decision is handed down, the result is a message from the court to the victim information and notification system/provider. This message will include a notification validation tag (`<vn-ext:NotificationValidation s:id="NotificationValidation001">Previous Event</vn-ext:NotificationValidation>`) on which the victim information and notification system/provider can validate.

4.2.2 Validate

Include a notification subtype tag (`<vn-ext:NotificationSubtype s:id="NotificationSubtype001">Validate</vn-ext:NotificationSubtype>`) in the message if there is data in the message that needs to be validated. The actual value to be validated is always an element in the message. The victim information and notification system/provider must parse the message to retrieve the appropriate value to validate. For example, a prosecution event has an element:

```
...  
<j:CourtAppearanceDate>  
  <nc:DateTime>1999-09-09T09:40:27Z</nc:DateTime>  
</j:CourtAppearanceDate>  
...
```

The victim information and notification system/provider must have logic to process the message as follows:

This is a prosecutor message

Validate > Date

Look for the element above to get the proper date to validate

4.3 Notification Validation

4.3.1 Date

Validating a date will invoke the administrative date range functionality listed above. The victim information and notification system/provider will provide the logic to obtain the appropriate date element from the message.

4.3.2 Other Information

Validating other information is very jurisdiction-specific (such as in the notification>movement example above); however, a clear method for validation must be documented and in place.

4.3.3 Previous Event

Including a previous event notification validation tag (`<vn-ext:NotificationValidation s:id="NotificationValidation001">Previous Event</vn-ext:NotificationValidation>`) will cause the victim information and notification system to search previous messages that have been flagged as a result of having an expect subsequent event notification subtype tag (`<vn-ext:NotificationSubtype s:id="NotificationSubtype001">Expect Subsequent Event</vn-ext:NotificationSubtype>`) in the message. The logic behind what events should precede other events is very jurisdiction-specific; however, a clear method for validation must be documented and in place.

Appendix A—Document History

Date	Version	Editor	Change
12/11/2011	1.0.0	Brad Kobishop	Initial version.
12/14/2012	1.0.0	Global Standards Council (GSC)	Approved.
02/01/2013	1.0.0	Global Advisory Committee (GAC)	Approved.

About the Global Advisory Committee

www.it.ojp.gov/global

The Global Advisory Committee (GAC) serves as a Federal Advisory Committee to the U.S. Attorney General. Through recommendations to the Bureau of Justice Assistance (BJA), the GAC supports standards-based electronic information exchanges that provide justice and public safety communities with timely, accurate, complete, and accessible information, appropriately shared in a secure and trusted environment. GAC recommendations support the mission of the U.S. Department of Justice, initiatives sponsored by BJA, and related activities sponsored by BJA's Global Justice Information Sharing Initiative (Global). BJA engages GAC-member organizations and the constituents they serve through collaborative efforts, such as Global working groups, to help address critical justice information sharing issues for the benefit of practitioners in the field.

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About the Global Standards Council

www.it.ojp.gov/gsc

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