

## NATIONAL INFORMATION EXCHANGE MODEL (NIEM)

### NEW YORK STATE DEVELOPMENT OF A NIEM 2.0-CONFORMANT IEPD FOR THE NEW YORK STATE INTRA-STATE CRIMINAL HISTORY REPORT (RAP SHEET) PROJECT

#### Synopsis

The purpose of this case study is to highlight the success of the development of a NIEM 2.0-conformant Information Exchange Package Document (IEPD) for the New York State Intra-State Criminal History Report (Rap Sheet) Project.

#### Agency Overview

**New York Division of Criminal Justice Services**—The Division of Criminal Justice Services (DCJS) is a multifunction criminal justice support agency with a variety of responsibilities, including collection and analysis of statewide crime data; operation of the DNA databank and criminal fingerprint files; administration of federal and state criminal justice funds; support of criminal justice-related agencies across the state; and administration of the state's Sex Offender Registry, which allows anyone to research the status of an offender. Core agency functions include conducting criminal history checks, fingerprint operations, coordinating grant funds, providing timely information, ensuring public safety, law enforcement training, breathalyzer and speed enforcement equipment repair, accreditation of police departments and forensic laboratories, Uniform Crime Reporting, research, hosting criminal justice boards and commissions, providing information to criminal justice agencies and institutions, and hosting other criminal justice agencies.

**Integrated Justice Advisory Board**—New York State Integrated Justice Advisory Board (IJAB) serves as the governance body for integrating justice systems. IJAB is composed of representatives from DCJS, the New York State (NYS) Department of Correctional Services, Division of Parole, Division of State Police, and Office of Homeland Security. IJAB members meet regularly to establish project priorities, determine funding allocations, and decide on operational management of shared infrastructure. IJAB established an interdisciplinary policy team, consisting of representatives from technical units within DCJS as well as the New York City Mayor's Office of the Criminal Justice Coordinator, to provide

#### Executive Summary

##### Challenge

The development of XML schemas using the National Information Exchange Model (NIEM) is a central element of New York State's strategy for the effective integration of criminal justice information systems. The NYS Division of Criminal Justice Services (DCJS) is in the process of converting legacy systems, including the mainframe rap sheet. New York City (NYC) is the last agency dependent on the mainframe rap. As part of NYC Datashare's eArrestment process, NYC will be the pilot site. DCJS has developed the NIEM-conformant XML rap sheet to replace the mainframe rap sheet to NYC. The XML rap sheet will also be available to any other NYS criminal justice agency that wishes to participate in that exchange.

##### Solution

The funds appropriated to DCJS through the National Governors Association (NGA) and Bureau of Justice Assistance (BJA) have been used to develop a NIEM 2.0-conformant Information Exchange Package Documentation (IEPD) XML rap sheet used in the exchange of the New York State Intra-State Criminal History Report (rap sheet).

##### Results

Results of this project include creation of a NIEM 2.0-conformant rap sheet IEPD, completion of all required IEPD artifacts, and publication to the U.S. Department of Justice IEPD Clearinghouse for use by other states.

input into all phases of this project. The Sub-Committee on XML Best Practices and Standards conducted a comprehensive evaluation to identify the pros and cons of the use of NIEM. The recommendation was to adopt NIEM 2.0 and extend this version to incorporate all extensions that are required to meet the NYS business needs. This version becomes the NYS canonical model.

## Challenge

The New York State Division of Criminal Justice Services (DCJS) proposed the use of grant funds provided by the National Governors Association (NGA) to support the development of a NIEM 2.0-conformant Information Exchange Package Document (IEPD) to be used in the exchange of the New York State Intra-State Criminal History Report (rap sheet). This IEPD development is a major undertaking, given the volume and complexity of the data involved in this exchange and the lack of previous staff experience in using NIEM.

This proposed project was an integral part of the division's current effort to replace its existing legacy rap sheet with an XML version. This NIEM 2.0-conformant rap sheet will be implemented using a newly developed service-oriented architecture platform that was designed for implementation of the eJusticeNY Integrated Justice Portal scheduled for release in mid-2008.

## Solution

The funds appropriated to DCJS through the NGA and Bureau of Justice Assistance (BJA) were committed to developing a NIEM 2.0-conformant Information Exchange Package Document (IEPD) rap sheet used in the exchange of the

New York State Intra-State Criminal History Report (rap sheet). This is an integral part of a newly developed service-oriented architecture platform that was designed for implementation of eJusticeNY Integrated Justice Portal. The IEPD was developed using established methodology, including JIEM business analysis and model, UML modeling, mapping rap sheet data elements to NIEM, development of XML schemas, and publication of IEPD artifacts and schemas to the U.S. Department of Justice IEPD Clearinghouse.

## Results

Results of this project include creation of a NIEM 2.0-conformant rap sheet IEPD, completion of all required IEPD artifacts, and publication to the U.S. Department of Justice IEPD Clearinghouse for use by other states. DCJS has also partnered with the New York City Mayor's Office of the Criminal Justice Coordinator and other city-based criminal justice agencies to test and pilot an electronic XML rap sheet exchange between New York City and the DCJS portal. Other results include creation of performance metrics to determine the length of time for developing a new IEPD and the cost of related activity, as well as identification of strategies for successfully bringing together different agencies and disciplines for collaborative team efforts.

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