



Texas Justice Information Exchange Strategic Plan

“The Texas Path to NIEM”
Update to the 2002 TJI3 Plan
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Prepared For:

Department of Public Safety
Office of Court Administration,
Department of Criminal Justice with the collaboration of the
Texas Integrated Justice Information Systems Steering Committee

Prepared By:

Unisys Corporation
5700 South MoPac Expressway, Suite 100
Austin, Texas 78749

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Executive Summary

The purpose of this document is to describe the goals and strategies that comprise the roadmap to information sharing among the Texas justice, public safety, and homeland security communities. New standards that focus on the interoperability of disparate justice, public safety, and homeland security computer systems at all levels of government are the primary vehicle for achieving timely, accurate, and secure electronic data exchanges.

Since the original publication of the Texas Justice Integration Information Initiative (TJI3) Plan in May of 2002, emerging technology standards have resulted in a fundamental shift in the approach to information sharing. The new standards make it easier for computer systems in different jurisdictions, locations, and levels of government to exchange information.

The cornerstone of these emerging standards is the National Information Exchange Model or NIEM. NIEM is the result of a collaborative effort between the U.S. Department of Justice (DOJ) and the U.S. Department of Homeland Security (DHS). NIEM leverages and extends the data exchange standards implemented by the DOJ Global Justice Information Sharing Initiative (the Global Justice XML Data Model) to facilitate timely, secure information sharing across the whole of the justice, public safety, and homeland security communities.

Since NIEM was established, more than 100 initiatives have begun in more than 30 states to take advantage of the value anticipated from the new national standard. This shift to standards-based interoperability is the key driver for this update to the original TJI3Plan and the foundation for our future efforts to share vital information.

This update to the TJI3 Plan, entitled the “Texas Path to NIEM,” was developed through a process that included focus group working sessions during which stakeholders from state agencies, local municipalities, counties, and regions discussed NIEM and how it might benefit Texas justice, public safety and homeland security communities. The stakeholders reviewed the progress made towards information sharing since the original plan was published in 2002. Stakeholders participated in developing the vision, mission, and goal statements. The salient points from their feedback were used to derive the strategies and deliverables described in this Plan. In addition, an electronic survey completed by ninety-seven (97) Texas stakeholders, captured their needs, concerns, obstacles, and issues related to the previous TJI3 Plan. The information provided by the stakeholders who participated in this process is reflected in this Plan.

The results of this effort indicate a strong statewide consensus for the need to continue to work together, across all levels of government, and to expand the reach of information sharing to stakeholders in the non-justice arena as well. The non-justice entities of concern include the entire “All Hazards” community inherent in public safety, homeland security, emergency management and response, and intelligence gathering.

Goals

The Texas Path to NIEM outlines five goals, each of which is described in detail and accompanied by recommended strategies and anticipated deliverables. The goals are presented below, in order of priority:

- Goal 1: Formalize the governance structure for interagency cooperation in the development and maintenance of the Texas Justice Information Exchange Model (TJIEM) in support of collaborative inter-agency information sharing.

Without a vital and representative governing body, any project can quickly lose coherence and momentum. An effort the size and scope of the Path to NIEM is especially vulnerable to such an unfortunate end. The TIJIS Steering Committee has provided the necessary governance to foster and facilitate collaboration and information sharing up to the development of this Plan, but it has been in a voluntary mode. Accordingly, the Texas Path to NIEM Plan suggests that the Texas Integrated Justice Information Systems (TIJIS) Steering Committee evolve into a more formal organization to help facilitate and oversee inter-agency collaboration.

- Goal 2: Create a Texas Justice Information Exchange Model (TJIEM) that conforms to NIEM.

The continued development, growth, and utilization of the Texas Justice Information Exchange Model (TJIEM) is essential in order to satisfy the objectives of statewide and national information sharing and to provide the needed state extensions to the national NIEM model. The fully NIEM – conformant TJIEM-ver1.0 will serve as the foundation for information exchanges between the State and local governments.

- Goal 3: Establish standards to improve integrity, accuracy, and timeliness of justice, public safety, and homeland security information.

Texas can improve quality, accuracy, and timeliness of data by creating intermediary standards-based information exchange models. These models will establish rules and structure for data elements that are to be exchanged between different justice and non-justice entities. This goal is vital to enhancing the intrinsic value of the data as it is delivered to the justice, public safety, and homeland security practitioners in the execution of their critical duties.

- Goal 4: Create an Operations Plan to increase access to and improve the response from justice and public safety data systems and enable sharing across other domains in support of homeland security efforts

As part of creating the Operations Plan, the new governance body should reach out to other disciplines described in the NIEM standards. The Operations Plan will establish methodologies for receiving and processing electronic requests for data. The Operations Plan should describe protocols and guidelines to maintain the proper control on the dissemination of exchanged information/data. The Operations Plan should also describe how data should be handled (e.g., rules governing the dissemination and storage of data), via Memorandums Of Understanding (MOU's) or other agreements to protect the security, privacy and integrity of sensitive information.

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- Goal 5 – Explore funding opportunities to support the efforts of local entities in pursuing Path to NIEM initiatives

The purpose of this goal is to provide advice and consultation for local entities as they seek supplemental funding to acquire or build NIEM compliant systems.

Next Steps

This Plan provides Texas with a set of viable strategies and goals, a roadmap, a Path to NIEM-compliant information sharing. It is important to note that only the development of the Texas Justice Information Exchange Model (TJIEM) has any direct funding at the time of this writing. The foundation of the reference model, TJIEM, is being created under the current effort, but the other activities will be accomplished by the participating agencies as funds are identified. The next steps for implementing the Plan include:

- 1. Formalize the Governance Structure.**
The TIJIS Steering Committee should initiate discussions with the pertinent agencies at the State level to determine how to establish an effective governance structure for the data interchange standards described in this plan
- 2. Create a consolidated Texas Justice Information Exchange Model for the State of Texas that conforms to national standards.**
This effort is underway at the time this plan is being written. Twenty-eight (28) local/state interchanges have been identified for development of NIEM-compliant specifications. The initial version of the model is scheduled to be completed by October 31, 2007. Additional projects should be planned to continue the effort to build the Texas NIEM-compliant data reference model, TJIEM.
- 3. Broadening the Vision**
This step begins with an awareness, communication and education campaign that will inform interested stakeholders and leaders across the state of the importance of supporting the Texas Path to NIEM. Additional actionable steps will be developed including, but not limited to:
 - a Creating MOU's or other agreements to establish protocols and guidelines for the dissemination and management of exchanged information/data;
 - b Creating rules governing the dissemination and storage of data;
 - c Creating a Path to NIEM Operations Plan to achieve data quality, accuracy, and timeliness;
 - d Identifying methodologies for receiving and processing electronic requests for data; and
 - e Assisting in identifying and providing supportive funding for local entities.

The significance of the Texas Path to NIEM is that it is the result of a collaborative effort of practitioners and leaders in the justice, public safety and homeland security communities. This Plan creates the foundation for the sharing of information across many domains; including those

outside the traditional justice community addressed in the earlier TJI3 Plan. By incorporating national standards such as NIEM and embracing the NIEM Concept of Operations, Texas becomes aligned with the mainstream of contemporary thought related to justice, public safety and homeland security information sharing and more importantly, is setting the stage for the state to participate in the national movement toward increasing the safety and security of every community.

Introduction

Since the original publication of the TJI3 plan the landscape of justice information sharing has changed with the emergence of national Information exchange standards in justice, public safety and homeland security, especially GJXDM, and the National Information Exchange Model (NIEM). These national standards have gained wide acceptance in more than 30 states where initiatives are underway that employ these standards as a critical and fundamental enabler for information exchange.

The impact of the emerging standards over the last five years has resulted in a fundamental shift in the approach to information sharing from one of systems integration, to one of “system interoperability.” This approach is based on establishing a common exchange framework that allows local systems to maintain their data structures and applications while developing adapters or interfaces that connect, adapt, and exchange business objects (justice transactions) from one system to another. These maturing standards are further enabled by the advancement and adoption of “object oriented” technologies such as Web Services, the Enterprise Service Bus (ESB) and eXtensible Markup Language (XML). Significant breakthroughs in information exchange standards development and computer language technologies are at the root of the new Texas Path to NIEM strategy.

The purpose and key drivers for the revision of the original TJI³ plan is therefore to acknowledge the impact of these standards as key enablers to realizing the vision and mission and describe a “Path to NIEM”-compliant strategy for the State of Texas. This strategy is intended to guide the coordination of existing projects, and the initiation of new projects that will enable the efficient, accurate, and timely access to cross-governmental, cross-functional, and cross-jurisdictional justice, public safety and homeland security information in the State of Texas.

The purpose of this document is therefore to give Texas a set of viable strategies and goals, a roadmap, a “Path to NIEM”-compliant information sharing.

Background

In 2002, the Texas Department of Information Resources (DIR), on behalf of an ad hoc working group of local and state justice agencies, created the TJI3 Plan for justice information sharing. No specific funding related to the specific goals and objectives of the Plan was available to any of the participating agencies; the plan was created to provide a blueprint for the agencies to design and deploy new justice systems, should any local resources become available.

The following agencies participated in the development of the original plan.

- County Information Resources Agency (CIRA)
- Criminal Justice Policy Council (CJPC)

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- Department of Information Resources (DIR)
 - Harris County
 - Judicial Committee on Information Technology (JCIT)
 - Office of Court Administration (OCA)
 - Office of the Governor, Criminal Justice Division (CJD)
 - Texas Association of Counties (TAC)
 - Texas Commission on Jail Standards (TCJS)
 - Texas Department of Criminal Justice (TDCJ)
 - Texas Department of Public Safety (DPS)
 - Texas Juvenile Probation Commission (TJPC)
 - Texas Youth Commission (TYC)

The goals of that plan were:

1. Create a governance structure for TJI3
2. Create a consolidated justice data model for the State of Texas
3. Improve integrity, accuracy, and timeliness of justice information
4. Increase access to and improve response from justice data systems
5. Establish a statewide data sharing infrastructure

In 2004, under the leadership of local government representatives, many of the same agencies who worked on the TJI3 plan and other stakeholders signed a Charter creating a governance structure to help plan for and effect statewide justice information sharing, as suggested in step one (1) of the TJI3 plan. That Charter created the Texas Integrated Justice Information Systems (TJIS) initiative which acts as a voluntary governance vehicle within the context of the TJI3 plan.

Today, five years later, progress has been made, and some local jurisdictions are building systems in a collaborative mode to enable information sharing. At the same time, though, the broad Texas justice community is still served by a wide variety of information systems that have been designed for very specific purposes. Many justice agencies, local law enforcement, correctional authorities, and the courts have developed their plans for information technology without consulting one another. Many of these systems cannot communicate with systems used by other justice agencies that need the same information. Crucial information is not shared widely enough within and between agencies on the same level; and local governments spend an enormous amount of time sending the same information to various state and federal entities. Precious resources are wasted on redundant data entry, manual research, and correction of errors. As a result, justice officials are unable to get timely, accurate, and complete information. Although there have been successful projects at the state and local levels, some projects fall short

of accomplishing a comprehensive cross-governmental and cross-functional look at justice, public safety, and homeland security information. The basic blueprint for data sharing on a statewide basis has still not been developed.

Texas can no longer afford to have incomplete information that does not support critical decision-making, nor can it afford to divert its justice system professionals from public safety to records-keeping tasks that can be done more efficiently when systems easily share data. This plan addresses the preliminary steps that must be taken to promote and enable justice information sharing in Texas.

Path to NIEM Initiative

In order to understand why NIEM is important to Texas, we must first have a basic understanding of what NIEM is.

A Definition of NIEM

Simply stated, NIEM is a framework to:

- Bring stakeholders and Communities of Interest together to identify information sharing requirements in day-to-day operational and emergency situations;
- Develop standards, a common lexicon and an on-line repository of technical and informational documents known as Information Exchange Package Documentation or IEPDs, to support information sharing;
- Provide technical tools to support development, discovery, dissemination and re-use of exchange documents (IEPDs); and
- Provide training, technical assistance and implementation support services for enterprise-wide information exchange.

NIEM was launched on February 28, 2005 through a partnership agreement between the U.S. Department of Justice (DOJ) and the U.S. Department of Homeland Security (DHS) that was signed by the Chief Information Officers of both agencies. NIEM leverages the data exchange standards successfully implemented by DOJ Global Justice Information Sharing Initiative known as Global, and extends the Global developed Global Justice XML Data Model (GJXDM) to facilitate timely, secure information sharing across the whole of the justice, public safety, emergency and disaster management, intelligence, and homeland security enterprise.

In addition, NIEM complies with the Homeland Security Presidential Directive (HSPD-5), which assigns the Secretary of DHS the role of principal federal official for domestic incident management. The Homeland Security Act of 2002 charges the Secretary with the responsibility

for coordinating Federal operations within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. Building on this are a series of Executive Orders, which direct U.S. Government organizations to strengthen the sharing of terrorism information between organizations and appropriate authorities of states and local governments, and to protect the ability of organizations to acquire and share such information.

What Problem Does NIEM Solve?

A variety of emergency situations in recent years have demonstrated in increasingly vivid detail the tragic consequences that often result when jurisdictions and agencies are unable to effectively share information. These terrorist attacks, natural disasters, and large-scale criminal incidents serve as case studies that reveal the weaknesses of the nation's information sharing infrastructure. Even local events that involve multiple agencies such as fire and law enforcement illustrate the challenges to sharing information.

Providing immediate access to timely, accurate and complete information, and sharing critical data at key decision points throughout the whole of the justice, public safety and homeland security enterprise are key objectives of the NIEM program. Fundamentally though, NIEM is not just about technology or making systems perform better. It is about making major improvements in the way information is shared throughout all justice, public safety and homeland security communities.

The primary value propositions supporting NIEM include

1. Improving public safety and homeland security by enabling timely, accurate, and secure information access and exchange between agencies and jurisdictions at all levels of government.
2. Enhancing the quality of justice decision making by providing accurate, timely, complete, and relevant information to decision-makers across the broad spectrum of NIEM participating agencies.
3. Achieving greater efficiency, effectiveness, and return-on-investment in operations by providing users with a set of reusable data components, as well as the tools needed for discovering and developing common and universal data for effective information exchange.
4. Moreover, additional improvement in efficiency and effectiveness can be achieved through the application of standard methodologies for scenario-based planning; information exchange mapping and modeling; and standards development.
5. Reducing the design and development time needed to build and implement robust, agile information sharing capabilities using NIEM-compliant common exchange standards, vocabulary, reusable data components and tools. Additionally, NIEM will host a

repository (or multiple repositories) of IEPDs, which facilitate information sharing and interoperability between systems.

6. Facilitating business transformation by identifying and documenting information exchange requirements among and between diverse communities of interest, building information sharing standards, and enabling reengineering of key operations where appropriate.
7. Providing a valuable framework and infrastructure that is scaleable beyond the current domains for other cross-government information exchange challenges.

Why is NIEM Compliance Important to Texas?

NIEM provides the foundation for information sharing by establishing a framework focused on the standards based exchange of information among justice, public safety, homeland security and other organizations. Through compliance with NIEM standards, Texas will realize the information exchange related goals outlined in this plan. It is the realization of the benefits and value of standards-based information sharing among justice, public safety and homeland security entities that is the most fundamental driver for creating the Path to NIEM plan.

With many systems currently being managed and developed at the state and local levels in the State of Texas, the need is clear for the establishment of a standards-based approach to achieve NIEM compliance for information exchange at all levels. Local and state entities throughout Texas will realize both qualitative and quantitative benefits resulting from building and deploying applications that exchange information to help address the public safety and security needs of citizens of Texas. This need underscores the value of sharing accurate, timely, and complete information across the whole of the Texas justice, public safety, and homeland security communities; it cannot be overstated. It is about getting the right information to the right people at the right time. It means that Texas officials at all levels of government will be properly equipped to make informed decisions in planning for, preventing, or responding to terrorist attacks, natural disasters, large-scale and organized criminal incidents, and better equipped for day-to-day operations.

NIEM compliant information sharing translates into faster access to and a better understanding of data that crosses the many Texas systems, and agencies. The ability of government personnel to effectively serve customers and the general public, and to deliver positive outcomes, hinges on the availability of appropriate and accurate information. Access to such information ensures that decisions are made and assistance provided as quickly as possible.

The task of creating this framework across multiple systems, networks, and multiple jurisdictional islands of information is a daunting one. By adopting NIEM standards, Texas will join a community of over 30 states whose justice, public safety, and homeland security agencies are developing, or who have implemented, information sharing projects utilizing NIEM and

GJXDM. GJXDM and now NIEM as the follow-on standard, continue to be adopted throughout the U.S. as the information sharing standard of the future.

Mission and Vision

The original TJI3 Plan identified goals, strategies, and deliverables that were necessary to develop the blueprint for collaborative development and deployment of justice systems, independent of the resources required to take the identified steps. At the time the original plan was completed, no agency had received funds specifically to execute the plan. However, as a result of those initial efforts, funding was allocated to facilitate this 2007 update of the plan as well as to develop a set of initial deliverables that form the foundation for creating a consolidated NIEM-conformant information exchange model, TJIEM, for Texas.

Stakeholder agencies are in a similar position since no funding has been allocated specifically for pursuing the updated goals, strategies and deliverables of this revised plan. As in the original plan, these updated goals, strategies and deliverables are ambitious and far-reaching. The fact that the plan has been updated should not raise expectations regarding what portion of it may be accomplished within any certain period of time. This plan is not intended to establish any expectations about future funding.

This 2007 update to the TJI3 Plan, also known as the "Path to NIEM," was sponsored by three Texas state agencies (the Department of Public Safety, the Department of Criminal Justice, and the Office of Court Administration) and coordinated with the TIJIS Steering Committee, representing the stakeholders for this initiative. The update of the TJI3 Plan included focus group work sessions where stakeholders were presented the renewed material related to the development and adoption of the NIEM initiative as well as an overview of the progress towards information sharing in the justice, public safety and homeland security communities. Stakeholders participated in a review of both the vision and mission statements and were asked to identify issues and recommend changes. The salient points from the stakeholder feedback were used to generate new vision and mission statements. The outcome from those efforts is reflected in the Vision and Mission statements that follow.

Vision Statement

A collaborative, continuously improving statewide Texas Justice, Public Safety, and Homeland Security community that can:

- (a) share timely information accurately and securely; and
- (b) access information at all levels of Texas government.

Mission Statement

Enabling and coordinating the deployment of Justice, Public Safety and Homeland Security information networks and systems by:

- (a) fostering the development and proliferation of state standards under the stewardship of Texas stakeholders;
- (b) facilitating the consistent, accurate, secure and electronic exchange of information in accordance with national and state standards; and
- (c) maximizing the availability of timely information to the organizations and individuals that provide justice, public safety and homeland security services.

Realizing the Vision

Goal 1: Formalize the governance structure for interagency cooperation in the development and maintenance of the Texas Justice Information Exchange Model (TJIEM) in support of collaborative interagency information sharing.

The original 2002 TJI3 plan called for the creation of a governance structure to promote and oversee justice information sharing throughout the State. In 2004, under the leadership of state and local stakeholders, many of the same entities who worked on the TJI3 Plan and other stakeholders signed a charter creating a voluntary governance structure for statewide justice information sharing, as suggested in step one (1) of the TJI3 Plan. That Charter created the TIJIS initiative.

These efforts focused largely toward achieving five goals and objectives outlined in the original TJI3 Plan, including the creation of TIJIS, which was accomplished soon after the plan was adopted. However, much has changed since 2002 and the inceptions of the original plan, requiring that it, like any other plan, under go a vitality process to maintain currency. This notion is reinforced by input from stakeholders during focus group meetings, supplemented by findings from a recent survey which suggest that TIJIS needs to evolve from an advisory body alone, to one that has more authority over the outcomes of its recommendations. The strategies below are driven by stakeholder input and contemporary issues in information sharing and governance. While many of these strategies are static, it is important to note that the role of the governance body is dynamic; it should continually assess national trends and changes in technological capabilities and information sharing initiatives, and be prepared to adopt those that are advantageous to the state.

Strategies

- Formalize the governance structure through enabling legislation and/or adoption by the Governor's Office

Lessons learned from contemporary efforts in justice information sharing suggest that a strong governance structure is essential. In a statewide initiative, legislative and executive support at the state level is a precursor to success. Thus this strategy should include the involvement of the Governor's Office and/or the State legislature.
- Move from a justice-oriented, state-centric governance model to one that involves multi-disciplinary representation. A study funded by the U. S. Bureau of Justice Statistics and performed by the SEARCH Group, Inc. (SEARCH) suggests the following be a consideration in creating a governance body:

A key consideration in this approach is that the Governance body should be representative of the entire stakeholder community. Specifically, it should include all criminal justice and public safety agencies that are part of the all-hazards approach to information sharing. If health, education and/or social service agencies are expected to provide and receive information from the integrated justice, representatives should be involved in the governance structure. In some cases, such as when health, education and social services are not agencies within the scope of the current integrated justice effort, ex officio roles may be created on the committee to allow input from these and other interested constituencies ¹.
- Develop a structure that is inclusive of local participation and accounts for the geographically dispersed justice and non-justice entities in the State of Texas

The sheer size (in both geography and population) of the State of Texas presents obstacles to inclusiveness in governance. While the creation of TIJIS was a step in the right direction, in order to fully overcome these obstacles, consideration should be given to a governance model that has an Executive or Steering Committee, with sub-groups allocated by county and/or region.

Best practices suggest the use of inter-county councils or local planning councils as a vehicle to ensure that local needs are being met. The National Governor's Association (NGA) Center for Best Practices suggests the following related to the use of inter-county councils or local planning councils:

Such an approach is important especially as different geographic regions in a state have different information needs and capabilities. These local entities would be in addition to statewide governance structures and would focus on local issues related to operations, technology, and funding².

- Define governance responsibilities aligned with contemporary needs

¹ SEARCH Group Inc. (NCJA/BJA Funded Research), 2000. Governance Structure, Roles and Responsibilities

² NGA Center for Best Practices. (2004) Incorporating Local Justice Information in State Systems

Governing bodies differ depending on need and preference of involved entities. Integrated justice governance structures should contain key components that focus on the following tasks:

- providing project leadership,
- defining the business of justice, and
- analyzing technical environments, policies and solutions.

Beyond these responsibilities, consideration should be given to including the following:

- serving as a clearing house for grant funding,
 - prioritizing projects to ensure that they are aligned with key goals or initiatives,
 - garnering support from other state decision makers,
 - articulating a united vision and determining the scope and focus of the information sharing under consideration,
 - making recommendations about legislative and policy issues related to privacy, and data retention (to ensure consistency in the way data is handled among justice data systems), security risks, and other issues that must be addressed through statute or administrative rules.
- Establish Stewardship for the management of Texas extensions to NIEM contained in the Texas Justice Information Exchange Model (TJIEM)

This strategy was driven by recommendations of stakeholders who attended focus group sessions. The creation of the NIEM conformant information exchange model, TJIEM, and this plan were the result of a great deal of effort and collaboration by key justice community stakeholders in the State of Texas. During the process of creating this plan and the associated model, the stakeholders came to understand that the twenty-eight (28) exchanges and accompanying IEPD's are to be the foundation of a model that would necessarily evolve. The dynamic nature and potential breadth of the model requires that some central entity officially assume responsibility for its maintenance and storage. The organization thought that state leadership in realizing this goal would be most appropriate.

Deliverables

- A formal governance structure that includes:
 - Formal authority (executive order, statute), in collaboration with the legislation and/or the Governor's Office
 - Executive or Steering Committee
 - MOU's or other similar agreement to be signed by stakeholders which establishes a mission, membership, commitment, decision making structure
 - Recommended administrative support structure.
- A governance structure that is multi-disciplinary and includes representation from the following disciplines (as addressed in NIEM):

-
- Justice,
 - Homeland Security,
 - Intelligence,
 - Immigration,
 - Emergency Management,
 - International Trade,
 - Infrastructure Protection,
 - Information Assurance.
 - A structure that is geographically dispersed and includes local participation:
 - Inter-county councils and/or
 - Local planning councils.
 - Documented responsibilities of governance body to include:
 - A list of sanctioned projects objectives, tasks and timetables
 - An outreach program that provides information to stakeholder entities
 - A training program
 - A timeline for completion of the tasks/projects outlined above or any other tasks that the governance body initiates.
 - Model Development & Vitality Team
 - Create a process to assign key individuals across the state to participate in the creation, maintenance, and review of the TJIEM-ver1.0. A Model Development & Vitality Team (MDVT) should be created under the auspices of the governance Steering Committee
 - MOU or other written agreement – this agreement should define the “rules of engagement,” i.e. expectations of both the managing entity and the stakeholders. It should also reference the agreed-upon protocol outlined in the Scope of Services document discussed below
 - Scope of Services document – This document should contain the protocol for handling, storing, accessing and modifying the model
 - Formal Stewardship by an appropriate entity or coalition under the established governance process.

Goal 2: Create a Texas Justice Information Exchange Model (TJIEM) that conforms to national standards

This goal involves the creation of a comprehensive justice information exchange model that is aligned with national standards to enable the exchange of information among justice, public safety and homeland security related systems. The fully NIEM – conformant TJIEM-ver1.0 will serve as the foundation for use by all levels of government and will include the elements required

by both the NIEM Concept of Operations and JIEM Conceptual Framework. This model is dynamic and will be built upon and expanded by stakeholders in concert with changing business needs, therefore it contains the suffix ver1.0 indicating that it is the first version.

The approach to be used is collaborative in nature, enabling the State’s key stakeholders, via the appropriate governance structure, to identify and prioritize exchanges that are important to the overall justice, public safety, and homeland security processes. The model begins with the creation of the core, composed of specifically identified exchanges occurring between state and local entities. Much of this work is underway as of the writing of this Plan and is part of the “Path to NIEM” effort.

In choosing and prioritizing the exchanges, the stakeholders and the TIJIS group did not include two important documents, the criminal history transcript (RAP Sheet) and the FBI’s National Crime Information Center (NCIC) transactions, since specifications for these documents are under development through a national, collaborative initiative. The decision to wait will ensure that the model used by Texas is in exact compliance with national leadership. The overall strategy was to identify exchanges that provided a good set of identifiers to be included in the information exchange model, acknowledging that they may not be the most critical or most used exchanges.

Strategies

As indicated earlier, this planning effort is dynamic; some of the below strategies have either been accomplished or are in progress. Those that have been accomplished are notated by one asterisk *, those in progress are notated by two asterisks **.

- Identify and prioritize critical exchanges*
Conduct focus groups of key stakeholders to identify and prioritize critical exchanges to be included as part of the core model.
- Analyze the identified exchanges**
Using the SEARCH Justice Information Exchange Model (JIEM) tool, analyze the identified exchanges based on the JIEM Conceptual Framework³, the NIEM methodologies and their associated concepts of operations. This model should build upon existing JIEM work conducted in other areas of the State, i.e., Tarrant and Galveston Counties.
- Identify gaps and barriers to sharing**
Perform a gap analysis regarding exchanges between the local-to-state and state-to-local exchanges that will be included in the TJIEM-ver1.0. The purpose of this gap analysis is to identify data that is not being shared including the existing barriers to sharing.
- Create IEPDs for the identified exchanges**

³ Refer to Appendix B – National Standards for Exchanging Justice Information, subsection SEARCH, for a more detailed explanation of the JIEM Conceptual Framework.

Each IEPD should contain the XML schema set that defines the content and structure of an XML instance. The IEPDs should be both GJXDM and NIEM conformant. These IEPDs should be validated by stakeholders who are subject-matter experts

- Create a detailed NIEM conformant TJIEM **
Create a detailed reference model (TJIEM) comprehensive of the appropriate exchanges identified and captured. The TJIEM will serve as a business reference model describing details of justice information exchanges.
- Monitor and leverage national standards initiatives
As part of the evolution of the TJIEM-ver1.0, key stakeholders should continuously monitor national standards initiatives and identify those that they can incorporate into the Texas model; Examples include RAP sheet standards, NCIC Wanted Persons transactions, etc. Leveraging completed work lends itself to greater efficiencies in model development as well as the benefit inherent in adopting nationally accepted standards. The MDVT discussed in Goal #1 will assume this responsibility.

Deliverables

- Prioritized list of critical exchanges to be included in the initial data model*
- JIEM analysis report of the identified exchanges**
- Gap analysis report identifying existing barriers to sharing as well as data that is not being shared **
- IEPDs for the identified exchanges**
- NIEM-Conformant TJIEM-ver1.0**

Goal 3: Establish standards to improve integrity, accuracy, and timeliness of justice, public safety, and homeland security information

This goal remains from the original TJI3 Plan first presented in May 2002; however the strategies for achieving this goal have changed as the state moves toward a standards-based NIEM conformant information exchange model. Whereas the original plan focused on data entry processes such as single-point entry and validation rules; this plan is focused on achieving data quality, accuracy, and timeliness by creating intermediary standards-based information exchange models.

These reference models establish rules and structure for all data that is to be exchanged between different justice and non-justice entities. This in effect will improve the integrity, accuracy, and timeliness of justice, public safety, and homeland security information by enforcement at the exchange point versus the entry point. The premise is that successes desired in Goal 3 will be achieved as the state continues to pursue the outcomes inherent in the “Path to NIEM.”

That notwithstanding, Goal #2 (establishing a Texas based, NIEM compliant information exchange model, the TJIEM) is an important step in the right direction toward improving integrity, and accuracy of justice information. Beyond that, the governance body can assist by establish and promoting data quality standards and adoption of the required information exchange standards. These standards can be used as a resource for participating entities. The more inclusive the governance body is (as outlined in Goal #1) the more likely individual entities will adopt these standards.

Strategies

- Create a data quality subcommittee/group to assume responsibility for data quality standards
- Leverage national data quality standards and incorporate them into a Texas statewide data standards model
- Formally adopt and publish nationally vetted information exchange standards
- Incorporate the use of published information exchange standards into agreements/MOU's of entities participating in the exchange of information
- Identify requirements and resources needed to implement standards compliance at source and destination systems.

Deliverables

- Formal data quality standards oversight group. This deliverable involves appointing people from each of the disciplines as outlined in NIEM, and ensuring that they are geographically dispersed throughout the different regions of the State. This deliverable should include a standards group charter, mission and objectives.
- State and federal standards report – this report should be comprehensive of the contemporary information related to state and federal standards for data entry, validation, presentation, and transmission
- Analysis of required information exchanges needed to support justice and non-justice entities throughout the state, and information exchange models created for each IEPD; their usage should be introduced in phases as entities become enabled. This is aligned with and can be incorporated into the operations plan referenced in Goal #4.
- Information exchange data quality standards model – this model should include elements of the operations plan for improving data quality, and be prescriptive in nature, providing specific steps and data quality conventions.

Goal 4: Create an Operations Plan to increase access to and improve the response from justice and public safety data systems and enable sharing across other domains in support of homeland security efforts.

The 2002 version of the TJI3 Plan noted that “... users who need justice data and those who use and enter data into the system may not always be readily open to sharing.” While this generally has been recognized as an issue in justice sharing, the findings of a recent survey suggest that Texas stakeholders are more likely to embrace sharing than in the past. An impressive 71% of the respondents indicated a willingness “... to reconcile discrepancies in data requirements in order to exchange data” and 80% indicated a willingness to “... participate in a governance body that has the authority to successfully promote the exchange of data between state and local agencies.” In addition, this goal needs to account for the expanding role of the homeland security community and the need to correlate information with the justice and public safety communities.

Thus, objectives of this goal have changed to reflect the development of standards, since 2002, associated with homeland security. Moving forward requires a well planned effort embodied in an operations plan for improving data integrity, accuracy, and timeliness. The plan is dynamic and should start with the data involved in the 28 exchanges included in TJIEM-ver1.01 (Goal #2). The specific elements of the operations plan are described in the Deliverables section below.

This goal should be closely aligned with goals #1 and #2. They set the stage for inclusion of stakeholders in the decision making process via the governance body and provide the enabling foundation for the exchange of data through the development of a standards-based (NIEM compliant) TJIEM-ver1.0. More detailed work associated with categorizing users of the data and prioritizing their data requirements should evolve from work done at the governance level through sub-committee and regional groups. Privacy issues associated with access to data will still have to be addressed through legislation and administrative rules to bring consistency to the way identical data is handled among all data repositories, when appropriate.

This effort will build upon the work done in creating the Path to NIEM and use the information contained in the gap analysis related to data needed, bottlenecks, sources of data and barriers to distributing the data. As part of creating the operations plan, the governance body will need to work with the disciplines (justice, public safety, homeland security and other entities) outlined in NIEM standards. Establishing a protocol and guidelines to maintain the proper control and dissemination of exchanged information/data and how the data should be handled (e.g., rules governing the dissemination and storage of data), via MOUs or other agreements must also be part of the operations plan. This would include provisions that encourage data providers to conform to NIEM 2.0 standards when exchanging data among public safety and homeland security entities including considerations for handling unstructured data.

In addition, part of the original 2002 TJI3 Plan focused largely on telecommunications infrastructure. Among the areas associated with this goal was the need to consolidate and coordinate “... some of the infrastructure and networks [which] could result in efficiencies and savings that can be used to enable smaller jurisdictions and users to participate in statewide justice data network.”

Focus group feedback and information discovered during the document review suggests that much of the telecommunications needs identified in the original plan have been addressed since 2002. The most recent report of the Telecommunications Planning and Oversight Council (TPOC) seems to validate that perception; it outlines progress made toward network optimization through consolidation and convergence. Among the more recent and associated accomplishments⁴ that could be beneficial to realizing the vision of the Path to NIEM are the following:

- WAN consolidation – leveraging existing infrastructure
- Migration to IP-based infrastructure
- Statewide VoIP solution – ability to leverage existing VoIP solution(s) statewide to support other agency initiatives
- VoIP implementation to the desktop
- Enhanced network security and redundancy.

While much has been accomplished in bolstering the telecommunications infrastructure, this plan suggests that the governance body become more involved to ensure that the telecommunications infrastructure can adequately support the on-going information sharing efforts. To that end, the governance body must ensure that they have a voice in developing strategies for addressing justice-related infrastructure needs. The governance body should develop a formal working relationship with TPOC and align efforts to deploy this plan (i.e., those related to improving the infrastructure) with efforts by DIR, TPOC and other governmental entities.

Beyond that, the operations plan must ensure that access to the network is provided for smaller jurisdictions to enable them to participate in statewide data exchange and information sharing. Stakeholders at both focus group sessions were adamant in raising this issue during the sessions. As part of this effort, rules (access rules) to access the statewide public safety information must be established; this should include who has access to what data under what conditions. In addition, the plan will include an established protocol requiring data providers to send information in proper formats.

Strategies

- Develop an Operations Plan to implement data standards in state and local justice agency systems – this is aligned with Goals 1 and 2
- Seek legal assistance to provide advice on the creation of rules to mitigate risk and provide assurances to the provider of the information or data
- Examine staffing, expertise and applications necessary to support statewide information exchange.

⁴ TPOC, 2006 (October). Status of the Plan for the State Telecommunications Network

Deliverables

An Operations Plan that conceptually addresses the following:

- communication and education plans for all entities that must enter and maintain data;
- policy and legal barriers and recommendations for legislation that may be needed to address the barriers;
- infrastructure gaps, recommended remedies;
- an implementation plan for the proposed process model above and;
- identification of funding sources for entities to convert existing data entry and distribution systems could be integrated with deliverables for the goal as components of the operations plan;
- Contains the following specific components:
 - User access model – build upon the twenty-eight (28) exchanges and IEPDs that are part of the information exchange model by showing how and when these data can be distributed to various classes of users, and under what constraints. The model should include entities representing the disciplines addressed in NIEM as outlined in Goal #2. While this document is separate from the TJIEM-ver1.0, it can be part of the operations plan
 - Protocol and guidelines to maintain the proper control and dissemination of exchanged information and accompanying MOU's/agreements
 - Network Strategy – this will ensure that access to the Network is provided for smaller jurisdictions. The plan should also address the continued consolidation and updating of statewide justice data infrastructure including priorities and a phased implementation schedule in concert with DIR and TPOC efforts. It will include:
 - Established rules (access rules) to access the statewide public safety information
 - Established protocol requiring data providers to send information in proper formats
 - Resolution by governing body formally adopting NIEM 2.0 standards and encouraging conformance by all data providers.

Goal 5 – Explore funding opportunities to support the efforts of local entities in pursuing Path to NIEM initiatives

The purpose of this goal is to provide supportive guidance and assistance in obtaining funding for local entities as they acquire or build NIEM compliant systems to use the IEPDs or for use in creating new IEPDs. Funding is always an issue for state and local government. The addition of a multitude of stakeholders in a major collaborative effort, such as the effort associated with this Path to NIEM plan, further complicates the ability to procure funding. Members of the focus groups recognized the need to seek funding and mentioned a number of grants that could support this effort.

Recent grant trends suggest that numerous funding opportunities, from a variety of sources, are available to support the exchange and sharing of justice, public safety, and homeland security information. A number of elements associated with success in obtaining grant funding are in place or are being pursued by the collective actions of the governance body. These include: collaboration that is both multi-jurisdictional and multi-disciplinary; presence of a governance body; adoption of national data standards – especially NIEM and the implications for all hazards information sharing; State support; and, a formal plan, to name a few.

Strategies

- Develop a standing subcommittee or funding work-group to pursue grants and other sources of funding
- Investigate funding opportunities (consider the funding sources in Appendix D).

Deliverables

- Formal grant funding subcommittee or work-group – this should include the names of subcommittee members including the naming of a chair and vice-chair
- Grant funding subcommittee or work-group charter – this should include a brief description of the group’s role in supplying information and assistance to entities applying for grant funding
- List of recommended grants – this list should include grant or other funding opportunities to pursue that are aligned with the Path to NIEM plan and which have the highest likelihood of success
- Submitted grant applications – this deliverable will be completed grants that results from the successful completion of this Goal.

Next Steps

The original 2002 TJI3 Plan included a Getting Started section that identified strategies that could be initiated within the organizational constraints that existed at that time in the State. These strategies included creating a governing body, developing a Texas justice data model and a set of longer term strategies related to broadening the vision in Phase 2. While these initial strategies have not necessarily been accomplished as described in the 2002 TJI3 Plan, a voluntary governing body exists in the current TIJIS Steering Committee and the foundation for a NIEM-conformant Texas Justice Information Exchange Model is being created at the time of this writing through this Path to NIEM initiative. This update recognizes and builds upon the progress achieved toward the goals, strategies and deliverables identified in the 2002 TJI3 Plan. At the same time, this update takes into account the progress made towards information sharing in the justice, public safety and homeland security community since 2002.

The TJI3 focus group survey summarized findings related to impediments to information sharing and provided insight into progress made in achieving the goals and strategies defined in the original plan. The survey findings suggest that the most significant impediments to information sharing are data related followed closely by organizational barriers. Technological impediments, while still identified as issues for the respondents, concerned the respondents the least.

These findings clearly suggest that there are still issues associated with information sharing in the Texas justice, public safety, and homeland security communities. These issues are not isolated to Texas; information identified during the records and literature review suggests that impediments are common across many states. One of the more interesting implications of these survey findings is that they suggest that Texas is moving forward in achieving the goals and strategies defined in the original plan and resolving many of the identified issues and impediments.

This plan identifies the next steps that should to be taken to increase justice, public safety and homeland security information sharing and improve the quality of information, independent of the resources and technology that may be required to take those steps. Many of the steps contained in this plan cannot be taken unless additional resources or funds are available and some steps will potentially result in legislative recommendations. However, below are some strategies that could be initiated within the current organizational constraints of the stakeholders.

Formalize the Governance Structure

Initial efforts of the TIJIS initiative successfully established a voluntary governance structure to promote and oversee justice information sharing throughout the State. Many of the same agencies who worked on the original TJI3 Plan and other stakeholders signed a charter creating governance for statewide justice information sharing, completing step one of the original plan.

Input from stakeholders suggest that TIJIS needs to evolve from an advisory body alone, to one that has more formal commitment to and authority over the stewardship of the Texas information

exchange model and the outcomes of its recommendations. Additionally, the membership needs to ensure broader inclusion of all levels of government as well as immediately address the broader community of interest to include justice, public safety and homeland security; and from a longer term perspective other communities of interest as appropriate (e.g. transportation, healthcare, etc.). Next steps presented relate to both the policy and operational levels and are driven by stakeholder input and contemporary issues in information sharing and governance. In pursuit of the strategies identified for formalizing the governance structure the governing body should:

- Determine near-term and long-term governance approach necessary to effectively pursue the identified vision, mission, and goals of the Path to NIEM initiative
- Update the Path to NIEM governance related goals and strategies to reflect near-term and long-term governance approach
- Review and update the TIJIS Charter to appropriately align the charter to near-term and long-term governance strategy
- Review current TIJIS formal membership to ensure it is inclusive of the Path to NIEM justice, public safety, and homeland security representation from all levels of government across Texas
- Pursue additional TIJIS justice, public safety, and homeland security representation from all levels of government across Texas to address weaknesses identified in TIJIS stakeholder representation
- Seek formal stakeholder entity commitment to new TIJIS charter
- Seek formal stakeholder entity commitment to the vision, mission and goals of the Path to NIEM
- Seek formal stakeholder entity commitment of resources to support TIJIS
- Formalize stewardship for the Texas Justice Information Exchange Model, TJIEM
- Document initial governance policies and processes
- Create the Operations Plan.

Create a consolidated Data Reference Model for the State of Texas that conforms to national standards

The JIEM modeling and IEPD development efforts for twenty-eight (28) identified local to local or local to state information exchanges completed as a part of this Path to NIEM initiative form the initial foundation for creating the comprehensive information exchange model. This information exchange model is aligned with national standards to enable the exchange of information among justice, public safety and homeland security related systems. The initial information exchange model includes the elements required by the NIEM Concept of Operations and the JIEM Conceptual Framework and forms the foundation of a fully NIEM compliant Texas justice, public safety and homeland security information exchange model that can be used at all levels of government.

Opportunities for expanding the model exist in the additional state and local exchanges that were identified during the process of selecting the initial twenty-eight and also can be found by exploiting existing data exchange initiatives. Over eighty percent of the respondents to the TJI3 focus group survey reported that their agencies participate in a data exchange initiative which includes more than two state agencies. Collaborating with and building upon these existing initiatives, whether they are between state and local or amongst local agencies, can serve to expedite the process of maturing the information exchange model.

The survey results suggest opportunities to leverage other initiatives as outlined above, but it also suggests that there are issues to be resolved. There were an inordinately high number of “neutral” or “neither agree nor disagree” responses related to Data Exchange Standards and Policies. This suggests that the respondents did not understand the questions, had some doubts about how to answer the questions, or were not familiar with national and state initiatives that might impact their agencies. This provides the justification for outreach and education within the stakeholder community.

Next steps presented relate to both the policy and operational levels and are driven by stakeholder input and contemporary issues related to information exchange models. In pursuit of the strategies identified for Goal #2 Create a Texas Justice Information Exchange Model (TJIEM) that conforms to national standards, the governing body should:

- Take the first steps toward creating the repository
- Identify stakeholder entity initiatives and leverage them to expand the Texas Justice Information Exchange Model
- Create an outreach program to educate and motivate both leadership and practitioners in stakeholder entities on the NIEM initiative and information exchange model, TJIEM
- Track and incorporate as appropriate RAP Sheet and NCIC transactions into the information exchange model
- Monitor and leverage National standards initiatives to maintain alignment of NIEM initiative
- Pursue additional TIJIS sponsored initiatives to expand the information exchange model
- Implement the TJIEM part of State agency policies and procedures for data exchange.

Broadening the Vision

After the governance body has been formalized, initial policy and processes have been developed and the information exchange model is well founded, the governing body should evaluate approaches and priorities to continue to pursue the strategies for achieving the goals described in this plan. The goals set forth in this plan are important steps in the right direction toward improving integrity, and accuracy of justice information. The governance body can assist by establish and promoting data quality standards and adoption of the required information exchange standards. Broadening the vision should include:

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- Assuming responsibility for data quality standards
 - Leveraging national data quality standards and incorporating them into a Texas statewide data standards model
 - Identifying barriers to adopting the standards and developing an operations plan to implement the standards in state and local justice data systems
 - Formally adopt and publish nationally vetted information exchange standards
 - Incorporate the use of published information exchange standards into MOU's/agreements of agencies participating in the exchange of information
 - Identify requirements and resources needed to implement information exchange compliance at source and destination systems.

The Next Steps presented relate to both the policy and operational levels and are driven by stakeholder input and cotemporary issues related to Path to NIEM goals. In pursuit of broadening the vision and pursuing the strategies identified for the goals the governing body should:

- Establish a vitality program to ensure stakeholder membership and governance charter are periodically reviewed for currency and alignment with national efforts including NIEM
- Develop a roadmap aligned with the progress of national initiatives including NIEM to expand the initiative into broader communities of interest
- Identify data quality standards
- Expand the outreach program to educate and motivate key legislators on the NIEM initiative and information exchange model
- Identify key funding needs, develop funding strategies and align with funding opportunities
- Explore permanent assignment and funding of resources to pursue the Path to NIEM initiative.

Appendix A. Information Sharing Initiatives

Texas is not alone in its quest for justice, public safety and homeland security information sharing. Justice, public safety and homeland security entities at all levels of government are working toward horizontal integration between agencies at the federal, state and local levels as well as vertical integration between federal, state and local agencies. National standards programs are beginning to focus the efforts towards information exchange versus the pursuit of new integrated systems and centralized databases.

This appendix presents similar information sharing initiatives from across the country. These information sharing initiatives do not represent a comprehensive study yet provide a sampling of efforts similar to the Path to NIEM initiative which help to validate the vision and goals of the effort.

Information Sharing Initiatives across the Country

The similar information sharing initiatives presented help validate the premises upon which this effort was undertaken and to demonstrate how this effort is in step with the rest of the country as tribes, local, state, and federal government move toward national standards and implementations for information sharing.

Originally these efforts were focused on the integration of justice systems as was evident in the many years of Criminal Justice Information Systems (CJIS) initiatives cited in the previous plan. Five years later these initiatives have evolved into information sharing versus integration sharing efforts that now include all aspects of domestic security not only including justice systems, but also all public safety systems and the homeland security community. The emphasis has evolved from inter-connecting systems to providing open standards both technical and business that will facilitate the sharing of information between all disparate systems.

The following section identifies three similar initiatives (projects) found throughout the U.S. These projects were selected based on their similarity to the Texas Path to NIEM project and were selected based on their compliance to the following criteria inherent in the Texas Path to NIEM initiative that is an important business driver for this strategic plan.

Criteria used to Identifying Similar Information Sharing Initiatives:

1. Inherent to the information sharing project are systems that must be populated by other systems to be viable
2. Inherent in the project is the desired implementation of GJXDM and/or NIEM IEPD's
3. The project is a collaboration effort of state and local justice & non justice agencies with an interest in sharing justice information.

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4. The guiding principals for the project include those found in the Department of Homeland Security's National Information Exchange Model (NIEM) and in SEARCH's Justice Information Exchange Model (JIEM).

Today more than 30 states have justice and public safety agencies who are developing, or who have implemented, information sharing projects utilizing the Global Justice XML Data Model (Global JXDM). GJXDM and NIEM continue to be adopted throughout the U.S. as the information sharing initiative of the future. Within the more than 30 states there are over 120 identified projects that are currently relying on these standards to exchange information with other justice and non-justice entities⁵.

Also, within the last three years, since the introduction of the SEARCH JIEM tool, there have been over 500 individuals certified through training that was funded by the Department of Justice's Bureau of Justice Assistance. These individuals include private sector justice vendors, local law enforcement employees, state government public safety employees, and a variety of federal government employees from agencies such as the FBI. There is also a representative sample of practitioners from the vendor community who have achieved certification through demonstrating their ability to use the Tool and can assist organizations in state, local and tribal jurisdictions with modeling system information flow and business rules by identifying, describing, documenting, and defining key inter-agency information exchanges⁶.

The three selected initiatives based on the above criteria are:

- The Wisconsin Justice Information Sharing Project (WIJIS)
- The Pennsylvania Justice Network (JNET) and
- The Automated Regional Justice Information Sharing System (ARJIS).

Interestingly each of these initiatives is very unique in the scope, history, and implementation of their sharing initiatives. The Wisconsin WIJIS project and the Pennsylvania JNET projects are mature statewide efforts that have provided leadership in the development of the national trends toward information exchange standards. Both states have developed strategies for adapting existing systems and oncoming systems to nationally recognized standards. And ARJIS is a regional multi-county initiative that, like WIJIS and JNET, is a mature implementation, strategically adapting to the evolving justice information exchange standards.

Despite the differences in the three projects identified there is an overarching similarity that supports the Texas strategy. All of these projects have systems that need to be populated by other systems, they all serve information to multiple justice and non-justice agencies, and they all have adopted the notion of the development of information exchange artifacts and the adoption of

⁵ (for more details, see the OJP Information Technology Initiatives website) Retrieved August 20, 2007 from http://www.it.ojp.gov/topic.jsp?topic_id=107

⁶ (for more details, see the SEARCH website) Retrieved August 21, 2007 from <http://www.search.org/programs/info/jiem-certified.asp>

GJXDM and the associated Information Exchange Packet Documents as a key component to future data exchange.

The following table is a study of each of these projects and should explain in further detail how these Information Sharing Initiatives, Projects, and Programs compliment the strategy of the State of Texas for future exchange of information between systems⁷.

⁷ Author Unknown. 2004. Wisconsin Justice Gateway, A Secure, Single Point of Access to Justice Information. Office of Justice Assistance. p.9. Retrieved August 20, 2007 from <http://www.search.org/integration/Wisconsin/WisconsinJusticeGateway.doc> (for more details, see the SEARCH web site) Author Unknown. Date Unknown. Wisconsin Justice Sharing Initiative Project (WIJS). Retrieved August 20, 2007 from <http://www.search.org/programs/info/resources.asp> (for more details, see the Wisconsin OJA web site) Jim Pingel, Donna Lewein. March 2006. WIJS Presentation to SEARCH. Retrieved August 20, 2007 from <http://oja.state.wi.us/docview.asp?docid=6634&locid=97> (for more details, see the OJP Information Technology Initiatives website) Jim Pingel, June 2005. Wisconsin's Justice Information Sharing Program WIJS. Retrieved August 20, 2007 from http://www.it.ojp.gov/topic.jsp?topic_id=107

	Criteria 1 - System of Systems	Criteria 2 - GJXDM & IEPDs	Criteria 3 - State/Local Justice and Non	Criteria 4 - DHS & SEARCH Principals
Information Sharing Projects and Initiatives	<i>Inherent to the Information Sharing project are systems that must be populated by other systems to be viable</i>	<i>Inherent in the project is the desired implementation of GJXDM and/or NIEM IEPDs</i>	<i>The project is a collaboration effort of state and local justice & non justice agencies with an interest in sharing Justice Information</i>	<i>The guiding principals for the project include those found in the Department of Homeland Security's National Information Exchange Model (NIEM) and in SEARCH's Justice Information Exchange Model (JIEM)</i>
Wisconsin Justice Information Sharing Project (WJIS)	The current WJIS initiative maintains several statewide vertical systems at the local level as well as linking state and local systems among agencies as needed. Inherent to WJIS are the following systems populated by local systems throughout the state: eTIME: First State Hot File System to Exchange Rap Sheet in xml (NCIC, CHRI), District Attorney Case Management (PROTECT), Consolidated Court Automation Program (CCAP), In-Squad Citation/Crash Reporting System (TrACS – DMV), and Integrated Corrections System (ICS)	GJXDM and NIEM IEPD implementations are inherent in the WJIS initiative. WJIS has created a standard schema for delivering up to 63 Incident-Based Reporting elements using the Global Justice Data Model Version 3.0. IEPD's have been developed for Police Referrals for Charging (eReferral), DA Court Case Filings, Criminal History Updates courts and DAs), Warrants & Protective Orders, Conditions of Probation/ParoleGlobal. GJXDM, V.3.0.2, is being used to publish shallow object data from law enforcement and prosecutor record systems to a federation of searchable indexes. To ensure that data maintains its meaning between the legacy system and the WJIS index, the Global JXDD is being used as a foundation for development of Wisconsin's Justice XML	The Justice Gateway is the primary information network utilized by law enforcement, first responders, prosecutors, courts, probation and parole and a myriad of others responsible for public safety and emergency response. It is also designed to interface with the Center for Disease Control's Health Alert Network, regional emergency management networks and the emerging national 'network-of-networks' being developed by other states and federal justice/homeland security organizations.	The technology used allowed each agency to choose its implementation environment while providing a standard structure for electronic data sharing between agencies using the Justice Information Exchange Model (JIEM) data exchange tool. With this objective in mind, the Justice Gateway Project incorporates the systems and standards developed in the WJIS Model County, the NLETS Rap Sheet Project and the guidelines and standards being developed by the Global Justice Information Sharing Initiative. WJIS uses electronic exchange and workflow projects using the GJXML standard to automate traditional paper-based processes between justice agencies. WJIS uses Global Justice xml (GJXML), the national standard for criminal justice data to make sharing happen automatically – and securely – with no extra data entry.
Pennsylvania Justice Network – JNET	Examples of information accessed through JNET includes driver's license photos and Certified Driver's History, Parole, Corrections, arrest mug shot photos, Criminal History RAP sheet information, County Jail inmate information, and more. Using photo imaging technology Web CPIN allows JNET users to search a database of over two million arrest photos including photos of scars and tattoos. Currently, JNET is host to applications from the Department of Corrections (ACT 84), Juvenile Court Judges Commission (Juvenile Tracking System) and the Pennsylvania Sentencing Commission (Sentencing Guideline Software (SGS)	Documented in the JNET technology standards for Data Elements is the GJXDM Development Process. Documented for Messaging standards is the GJXDM Message Development Process.	It is a collaborative effort of municipal, county, state, and federal justice agencies to share information through a secure justice portal. JNET currently provides the mechanism for business partner and virtual private network connectivity to all authorized public safety practitioners in the Commonwealth. Currently, over 750 municipal police departments, all 67 counties, 54 state agencies, and 42 federal agencies have access to JNET's secure web portal and messaging services.	Evident in the system documentation and online record is an ongoing leadership in the implementation and adoption of NIEM conformant Information exchange models within the state. Over 24 projects associated with the JNET initiative contain XML specifications that are compliant with the Global JXDM. Extensions were created as needed. Each message has its own document/extension schema and the Global JXDM constraint schema.
Automated Regional Justice Information System - ARJIS	ARJIS is a legacy mainframe based system that contains data from the 10 primary law enforcement agencies in San Diego County. ARJIS is an enterprise system of applications that help users solve crimes and identify offenders. ARJIS also serves as the region's information hub for officer notification, information sharing, and the exchange, validation, and real-time uploading of many types of public safety data.	ARJIS utilizes technical and operational standards to build interfaces to all criminal justice systems in the region. Although current interfaces are of a legacy system nature, ARJIS currently employs a legacy system migration strategy that is implementing GJXDM as the Information Exchange method of choice. The new San Diego Sheriffs RMS is employing a GJXDM interface to ARJIS.	ARJIS has evolved into a complex criminal justice enterprise network used by 71 local, state, and federal agencies in the two California counties that border Mexico. These include justice and non-justice agencies such as the California Health Department and the U.S. Forest Service.	ARJIS has been closely aligned with the Dept. of Justice's (DOJ) National Institute of Justice in the pursuit to build new web based technologies. ARJIS personnel are currently engaged in working with DOJ's Office of Justice Program's (OJP) Global Justice XML Data Model (GJXDM). ARJIS has not adopted the SEARCH JIEM methodology for information Exchange but clearly are following many of the guiding principals for modern Justice Information Exchange methods.

Appendix B. National Standards for Exchanging Justice Information

Programs

National Information Exchange Model (NIEM)

NIEM is the result of collaboration between the U.S. Department of Justice (DOJ) and the U.S. Department of Homeland Security (DHS); the goal is to identify and facilitate information sharing between agencies. NIEM was launched in early 2005 through a partnership agreement between the Chief Information Officers of each department. This partnership is anticipated to expand to other agencies based on their needs and the demonstrated success of the NIEM model and approach.

NIEM was built upon the data exchange standards efforts successfully implemented by DOJ's Global Justice Information Sharing Initiative, the Global Justice XML Data Model (GJXDM). By extending the GJXDM, NIEM can facilitate timely, secure information sharing across the entire justice, public safety, emergency and disaster management, intelligence, and homeland security enterprise. The NIEM model version 2.0 has been released earlier this year (2007) along with the publication of the NIEM Concept of Operations (ConOps).

The NIEM ConOps describes *the three pillars* of NIEM which are *Governance, Processes, and Architecture*. *Governance* refers to the decision making structure and authority to support initial development, continuing operation, and future evolution of NIEM. *Architecture* refers to the technical structure and content of NIEM. *Processes* describe the technical and operational procedures and methodologies for interacting with NIEM, discovering, developing and reusing NIEM data components such as information exchange package documents (IEPDs), and provide a description of relevant NIEM lifecycles. The NIEM concepts are at the heart of the Path to NIEM.

Department of Homeland Security (DHS)

DHS evolved from The National Strategy for Homeland Security and the Homeland Security Act of 2002 to mobilize and organize our nation to secure the homeland from terrorist attacks. One of the primary reasons for the establishment of the Department of Homeland Security was to provide the unifying core for the vast national network of organizations and institutions involved in efforts to secure our nation.

An important goal of DHS is to identify and understand threats, assess vulnerabilities, determine potential impacts and disseminate timely information to our homeland security partners and the American public. This involves the collection, protection, evaluation and dissemination of

information to the American public, state and local governments and the private sector. The Homeland Security Information Network serves as a nation-wide platform which DHS provides to share essential homeland security information with the proper stakeholders. This information sharing is accomplished both horizontally across the government and vertically among federal, state and local governments, private sector and citizens as outlined in the President's National Strategy for Homeland Security.

Another important information sharing initiative by DHS is the Homeland Security Advisory System. This system targets protective measures in response to threats, when specific information to a specific sector or geographic region is received. It combines threat information with vulnerability assessments and provides communications to public safety officials and the public.

The Protected Critical Infrastructure Information (PCII) Program is also aligned with information sharing with implications for the Path to NIEM. The PCII Program focuses on the sharing of critical infrastructure information. It brings together the private sector and government entities and seeks to facilitate greater sharing of critical infrastructure information by protecting the information from public disclosure.

A recent effort by DHS, relevant to information sharing across domains, is important to mention here. DHS has released its plan to move forward with nationally standardized drivers' licenses. This includes the establishment of the Real Identification (ID) Program Office and goals for the upcoming year. DHS issued the implementation plan to make available \$34 million in discretionary funding, to be allocated to states for Real ID deployment. The Real ID Act of 2005 requires states to issue nationally standardized driver's licenses and identification cards.

Information technology plays a substantial role in these and other efforts of DHS; the Path to NIEM will serve as the vehicle to align Texas with the mainstream of this national information sharing movement.

Department of Justice

The Department of Justice (DOJ) and the Federal Bureau of Investigation (FBI) have historically been the driving forces behind the national integration of justice systems. Among the early efforts of the Justice Department to enable the sharing of information were the National Crime Information Center (NCIC) and the Interstate Identification Index (III). These systems have become the mainstay of justice information over the years with daily inquiries average approximately 200,000.

The FBI collects criminal information and manages national repositories of criminal justice data pursuant to its mission to uphold the law through the investigation of violations of federal criminal law, to protect the United States from foreign intelligence and terrorist activities, and to provide leadership and law enforcement assistance to federal, state, local, and international agencies.

Through its Uniform Crime Reporting (UCR) program, The FBI gathers crime statistics from police agencies throughout the country. This program is evolving to a program called the National Incident-Based Reporting System (NIBRS). It supports the gathering and reporting of more detailed crime information. The program provides the long-standing national picture of crime, as published each year in Crime in the U.S.

A more recent program of the DOJ, with implications for the Path to NIEM, is the Information Exchange Package Documentation (IEPD) Clearinghouse. The clearinghouse provides information on a variety of IEPDs that have been submitted by individuals and organizations who have implemented the Global Justice XML Data Model (Global JXDM) and the National Information Exchange Model (NIEM). It will foster the sharing of information among justice agencies.

A new program to expand justice information sharing nationally is the FBI's Law Enforcement National Data Exchange initiative known as N-DEX. This program now in its early stages, is being developed to create an electronic catalog of criminal information from around the country. It will serve to link many law enforcement and justice systems through one portal or access point. N-DEX will provide powerful search and analytical tools in support of investigative and crime analysis. It will also push relevant information to users through subscription alerts. This system is being designed to enable new levels of communication and collaboration among entities with similar interests. N-DEX is currently under development by the FBI and its partners, and the first stage is expected to be launched early next year (2008). Since N-DEX will be standards-based, achieving the goals set forth in the Path to NIEM will posture Texas to be an early participant in this nationwide sharing initiative.

Office of Justice Programs

A number of initiatives of the Office of Justice Programs have further assisted state and local agencies in areas aligned with the Path to NIEM. The National Missing and Unidentified Persons Initiative (NamUs)⁸, for example, is the first national online repository for missing persons and unidentified dead cases. The Initiative brings together two innovative, searchable databases to provide a powerful tool for law enforcement agencies, medical examiners and coroners, victim advocates—and the general public—to search for matches between missing persons and unidentified human remains records.

National Guidelines for Sex Offender Registration and Notification: In May of 2007, the Attorney General announced the proposed National Guidelines for Sex Offender Registration and Notification as required by the Adam Walsh Child Protection and Safety Act of 2006. Also announced was \$25 million in assistance for communities to implement the Adam Walsh Act and to take other steps to guard against sex offenders.

The OJJDP National Training and Technical Assistance Center was developed in February of 2006. Through the National Training and Technical Assistance Center (NTTAC) the OJJDP's

⁸ www.NamUs.gov

supports the delivery of high-quality training and technical assistance (T&TA) to specifically meet the needs of the juvenile justice field. NTTAC products, help service providers stay current on the latest trends, technology, and initiatives in T&TA.

On July 11, 2007, OJP released the Grants Management System (GMS) On-line Training Tool to assist grantees in administering their awards through the GMS. The On-line Training Tool provides step “by” step instructions to complete various functions within GMS, as well as the administrative policies associated with Grant Adjustment Notices, Progress Reporting, and Closeouts.

Search

The Justice Information Exchange Model was developed by SEARCH through funding from the U.S. Department of Justice, Bureau of Justice Assistance, to help jurisdictions across the country document their business information sharing requirements. SEARCH recently redesigned the Justice Information Exchange Model© (JIEM) website to provide easier access to information and more detail on the three integrated components of JIEM—the JIEM Methodology, Reference Model, and Modeling Tool. The business reference model for justice information exchange now contains almost 700 key exchanges common to most jurisdictions.

The JIEM tool has emerged as a national standard for evaluating exchanges under the SEARCH title. The newest version of the JIEM Tool will be released in the Fall of 2007. This updated version is the first step in several planned for the near future that will provide more JIEM information and functionality to the community. The Path to NIEM is aligned with this national effort in standards development for justice planning.

U.S. Department of Justice, Global Advisory Committee (GAC)

As discussed in the 2002 version of TJI3, the Global Criminal Justice Information Network was created by Congress to advise the Attorney General on matters regarding justice information sharing. The Global Advisory Committee has emerged from the Global Criminal Justice Information Network as a national point of coordination for cross-discipline information sharing initiatives. The Global Advisory Committee has expanded its focus to a number of additional areas consistent with those emphasized in this Path to NIEM.

The Global Advisory Committee efforts support practitioners, developers, and other stakeholders involved in planning efforts nationwide. The Texas plan is aligned with the national efforts, and has embraced the national perspective and movement in support of this planning process. As outlined in the original (2002) Texas plan, several state and local representatives involved in this Texas planning process play important roles in the national justice information and integration efforts. Texas continues to have a strong presence on the FBI’s Criminal Justice Information Services Advisory Policy Board, the National Law Enforcement Telecommunications System (NLETS), the Conference of State Court Administrators, the National Association for Court Management, the National Association of State Chief Information Officers, and SEARCH. This

coordination with the national perspective is critical, especially regarding security, privacy, and standards.

Global aims to develop and implement a standards-based electronic information exchange capability, providing the justice community with timely, accurate, complete, and accessible information in a secure and trusted environment⁹. Since 2002, Global has focused on numerous new initiatives in the furtherance of information sharing; these areas are consistent with those emphasized in Path to NIEM. The more salient of these initiatives are outlined below and are associated with each of the four Global Working groups that contributed to their development¹⁰:

Global Infrastructure/Standards Working Group (GISWG)

The below GISWG initiatives involve standards and advice in the areas of Architecture, SOA, Global JXDM, and XML.

- Exploring Service-Oriented Architecture Registries for Justice Information Sharing
- National Information Sharing Standards Knowledge Base and Help Desk
- The Global Justice Reference Architecture (JRA) Specification, Working Draft Version 1.4.

Global Intelligence Working Group (GIWG)

These initiatives provide guidance and tools to assist in the collaborative process to improve intelligence sharing. The guidelines and tools serve to unify law enforcement, public safety, health, transportation, and the private sector.

- National Criminal Intelligence Sharing Plan
- Fusion Center Guidelines: Law Enforcement Intelligence, Public Safety, and the Private Sector
- Law Enforcement Analytic Standards
- Minimum Criminal Intelligence Training Standards for U.S. Law Enforcement and Other Criminal Justice Agencies.

Global Privacy and Information Quality Working Group (GPIQWG)

Through the efforts of GPIQWG, practitioners examined the use and exchange of personally identifiable information (PII) in the context of justice information systems and in the dissemination and aggregation of justice and public safety data. The result was the development of guidance associated with the most important issues in privacy policy and technology.

⁹ See <http://www.iir.com/global/>

¹⁰ See http://www.it.ojp.gov/topic.jsp?topic_id=214 for more detail coverage of each

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- DOJ’s Global Privacy, Civil Rights, and Civil Liberties Policy Templates for Justice Information Systems
 - Privacy Policy Development Guide
 - Privacy and Information Quality Policy Development for the Justice Decision Maker.

Global Security Working Group (GSWG)

These tools provide guidance to assist practitioners in developing basic, foundational security practices that they can deploy within their enterprise and between multiple enterprises. They cover a number of important topics such as overviews of best practices, and guidelines for secure information sharing.

- Applying Security Practices to Justice Information Sharing
- Applying Wireless Security Practices to Justice Information Sharing
- Web Services Security Issues in a Justice Environment.

Technology Standards

The Internet provides seamless, “on demand” access to billions of pages of information from any computer in the world with an Internet connection and a Web browser. The technical requirements to access all of this information are as simple as plugging the computer into an Internet connection, much like connecting a standard telephone. Internet standards provide all of the “invisible” technology behind the Web. Although this “seamless” access to information appears effortless, this notion is far from the truth. The World Wide Web Consortium (W3C) spent years reviewing and approving these standards.

The national justice community is following this example to develop a series of interoperability standards to promote secure information sharing among justice agencies at all levels of government. This Path to NIEM plan is designed to provide a blueprint for the future of justice, public safety and homeland security information exchange by standardizing information exchange through a more efficient use of technology. This exchange will be based on national technical standards that will ensure interoperability among local agencies, state departments, and federal agencies. Additionally compliance with national standards will satisfy requirements to receive federal grant funding.

This technology standards section provides reference information on current and emerging standards that will be beneficial in Texas information exchange initiatives. An overview of major topics for the standards discussed identifies their direct relevance to the Path to NIEM initiative.

To find additional information on the topics discussed, follow the embedded Internet links. Technology Standards includes sections on the following major topics:

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- Global Advisory Committee (GAC)
 - Global Justice XML Data Model (GJXDM)
 - Global XML Structure Task Force (XSTF)
 - GJXDM Information Exchange Package Documentation (IEPD)
 - National Information Exchange Model (NIEM)
 - Interstate Criminal History Transmission Specification (XML Version 3.0)
 - National Crime Information Center (NCIC)
 - National Law Enforcement Telecommunications System (NLETS)
 - Organization recommendations for all levels of government
 - Best practices for national standards.

U.S. Department of Justice, Global Advisory Committee (GAC), Standards Development

The Office of Justice Programs (OJP) aids the member organizations of Global, and the people they serve, through a series of important initiatives. As mentioned above, these include the facilitation of GAC working groups; development of technology standards, such as the GJXDM; collaboration on NIEM, creation of white papers on data sharing issues, such as the National Criminal Intelligence Sharing Plan (NCISP); and the dissemination of information via the Global Web site.

GAC groups work collaboratively to address the policy, connectivity, and jurisdictional issues that have hampered effective justice information sharing. Global working groups are comprised of GAC members and other subject-matter experts who expand GAC's knowledge and experience. The groups are formed around timely issues impacting justice information sharing. The work of GAC has implications of the highest importance-making it the foremost voice for justice information sharing¹¹.

Global Justice XML Data Model (GJXDM)

Historically, much of the information was shared among justice agencies through custom integration of individual applications. Developers created exchange data formats that were designed for the each custom interface, and technical standards were not reused often across agencies. According to DOJ, this lack of standards for linking information systems during the past 30 years is responsible for a substantial part of the high costs of information exchange and has contributed to the challenges of sharing information among justice agencies.

¹¹ U.S. Department of Justice, Office of Justice Programs, http://www.it.ojp.gov/topic.jsp?topic_id=8

The advent of XML has exponentially affected the way data and its meaning are expressed and understood worldwide. In the technical community, XML is widely adopted as a standard for information exchange. XML is used to describe data so that standard interfaces can be developed to interpret it correctly. To make the data exchanges truly interoperable, industries and government communities began to develop common XML vocabularies to represent the data being exchanged in their respective domains. Through the management and support of DOJ and Global, an XML vocabulary was developed for the justice and public safety community. The justice XML dictionary is known as the GJXDM, which is a common XML vocabulary that enables interoperability among justice agencies at all levels of government. The Global JXDM is the result of a collaborative effort of numerous agencies from all levels of the justice and public safety domains.

The GJXDM provides a consistent, extensible, and maintainable XML schema reference specification for data elements and types that represent the data requirements of the general justice and public safety communities. The GJXDM also provides a baseline model for the data dictionary that can be represented in advanced technologies independently of an XML Schema. Using the GJXDM promotes the use and reuse of common XML data components. The GJXDM is flexible to allow local additions of data components without affecting prior investments in code and schema development. The GJXDM is designed to evolve with emerging technologies that allow for future growth of the standard¹².

Global XML Structure Task Force (GXSTF)

In early 2002, DOJ formed a group called the Global XML Structure Task Force (GXSTF) under Global's Infrastructure/Standards Working Group to develop an object-oriented XML data model for justice information sharing. GXSTF consists of justice practitioners and industry representatives from various justice communities of interest and includes representation from:

- Local, state, and federal law enforcement
- Courts
- Corrections
- Probation and parole
- Transportation agencies
- The Federal Bureau of Investigation
- Search, The National Consortium For Justice Information And Statistics
- The U.S. Chief Information Officers Council
- The Integrated Justice Information Systems (IJIS) Institute (a consortium of private-sector companies involved in justice and public safety).

¹² U.S. Department of Justice, Office of Justice Programs (2007). Information Technology Initiatives. Retrieved August 13, 2007 from Global Justice information Sharing Initiative (Global) Website: http://it.ojp.gov/topic.jsp?topic_id=201

The Global JXDM development is supported by the GXSTF which works closely with researchers at the Georgia Tech Research Institute (GTRI). New releases are issued by the GXSTF, which reviews and evaluates each version of the Global JXDM. The GXSTF solicits feedback from technical experts and practitioners in both industry and government and authorizes Global JXDM changes based on this feedback. All approved additions, deletions, and modifications are applied to future releases, with a cumulative change log published along with each release. When a reasonable number of updates are approved by the GXSTF, a new version is released.

GXSTF's contribution is supported by a full-time development staff, notably research scientists from GTRI and the National Telecommunication and Information Administration. To develop the technical concepts, GTRI used XML best practices and standards in the design and implementation of the GJXDM. This global GXSTF effort provides a framework in which a productive relationship develops among practitioners, industry, and development staff. Several key elements of that relationship enabled its success:

- Developers had no product at stake in the effort; they could listen to the practitioners' requirements and view them impartially.
- Practitioners and industry came to the table willing to compromise with each other and to consider the technical trade-offs the developers provided.
- Practitioners were involved with key decision points throughout the process to ensure that the product met their needs and to enable their buy-in.

These factors created an open atmosphere for GXSTF's contribution that allowed all participants to concentrate on achieving a common Justice XML vocabulary that would each justice domain's needs most effectively. GXSTF's success was enabled by structuring the work into stages:

- GXSTF worked to collect and analyze user requirements derived from actual exchanges of justice agency information.
- A technical architecture for the development of Justice XML elements was developed.
- Domain-specific categories were distributed to domain experts for review and analysis.
- Data types and elements were parsed into groups organized under a focused set of core objects.

GJXDM Reference Material

The GJXDM is intended to be a data reference model for the exchange of information in the justice and public safety communities. GJXDM reference material and other valuable resources are available from DOJ's Web site at <http://www.it.ojp.gov/gjxdm>. For the latest news, documentation, and releases of the GJXDM, interested readers should access this site regularly.

GJXDM Information Exchange Package Documentation (IEPD)¹³

Many justice and public safety organizations have worked to define information exchanges that conform to the GJXDM to be used in their information sharing enterprises. Recently, several justice practitioner and industry organizations (including SEARCH; the National Center for State Courts (NCSC); the OASIS LegalXML Integrated Justice Technical Committee; the IJIS Institute; and other national, state, regional, and local justice organizations) have worked to define reference information exchanges intended as models for information exchanges that meet specific business needs. The GXSTF recognized the need to identify and describe a common set of artifacts to document the structure and content of a GJXDM-conformant XML instance used in an information exchange to meet a specific business purpose.

This set of artifacts is referred to as GJXDM Information Exchange Package Documentation. The products of these efforts are also known as exchange documents and reference exchange documents (or simply reference documents). An Information Exchange Package represents a set of data that is transmitted for a specific business purpose. It is the actual XML instance that delivers the payload or information. (“Package” refers to a package of the actual data, not a package of artifacts documenting the structure and content of the data.) An Information Exchange Package can be prefixed with GJXDM to indicate or highlight that the Information Exchange Package conforms to the GJXDM, as in “GJXDM Information Exchange Package.”

IEPD is a collection of artifacts that describes the structure and content of an Information Exchange Package. It does not specify other interface layers (such as Web Services). It can optionally be prefixed with GJXDM to indicate or highlight that a resulting IEP conforms to the GJXDM.

Business Need for Information Exchange Package Documentation

Why develop Information Exchange Package Documentation? It is necessary to define the data that is to be exchanged (and its structure) for a particular business purpose, thereby providing interoperability at the Information Exchange Package level. The Texas Path to NIEM initiative focuses on promoting information sharing and interoperability at this Information Exchange Package Level.

The Global Justice XML Data Dictionary (GJXDD) provides a set of defined data in the justice domain; the GJXDM provides an object structure for that data. However, the GJXDM does not define sets of data for particular business information exchanges.

The Texas Path to NIEM initiative has embraced these standards and will adopt the nationally recognized exchanges where beneficial. Additionally this initiative has identified twenty-eight (28) common local to local and local to state information exchanges and developed IEPDs for

¹³ GJXDM XML Structure Task Force (2005). GJXDM Information Exchange Package Documentation Guidelines. Retrieved August 13, 2007 from IEPD Documentation Guidelines Web site: http://www.it.ojp.gov/documents/global_jxdm_information_exchange_package_documentation_guidelines_v1_1.doc

each exchange. Without the IEPD, there would be no agreement between justice, public safety, and homeland security entities on which GJXDM properties (and extended properties) are used or how they are structured in each of the related Information Exchange Packages. With the same set of business data requirements, each implementing organization would likely come up with a different Information Exchange Package to represent that same set of business data because of the GJXDM's flexibility. It may be difficult for an organization that receives an Information Exchange Package to understand it because the organization would not necessarily know the context of Information Exchange Package data, properties, and XML structure. Even if the Information Exchange Package from a particular sending organization could be interpreted, it would be expensive for organizations to handle the variations from the different senders.

By developing and reaching agreement on the IEPD for the twenty-eight (28) information exchanges documented as a part of the Path to NIEM initiative and continuing to build out the Texas Justice Information Exchange Model, stakeholders can send an Information Exchange Package in a configuration that those who receive the package can easily understand.

Developing Reference IEPD further reduces the arbitrary variations in IEPD and the corresponding effort to implement multiple IEPD instances by multiple stakeholder organizations for a similar business purpose. If one or more justice, public safety, or homeland security practitioners agree on the Reference IEPD for a particular business purpose, that Reference IEPD can be used as a model for a more specific IEPD that meets the a particular enterprise's specific business needs. The goal of an IEPD is to:

- Establish a business framework around information exchange
- Leverage existing vocabularies and build new vocabulary for information exchange
- Define specific data objects included in information exchange and a common meaning of these objects for all users or participants
- Expand and refine the data dictionary, (such as the GJXDD) through experienced feedback; resolve vague definitions
- Constrain or restrict vocabularies down to key choices to support interoperability.

For example, if each state is considered a justice enterprise, each may develop the IEPD for an Arrest Warrant. There could then be 50 or more instances of the Arrest Warrant IEPD, each with potentially legitimate differences due to each state's unique requirements. However, these 50 or more instances of Arrest Warrant IEPD would likely have arbitrary and unnecessary differences (in addition to the legitimate differences). If a nationally respected organization develops and recognizes a Reference IEPD for an Arrest Warrant, states are more likely to use that documentation as a model for developing their specific Arrest Warrant IEPD. This minimizes unnecessary differences from state to state while enabling each state to tailor its Arrest Warrant IEPD to meet the specific business needs from the justice community within their state. It may be inclusive enough to be used as-is for a particular state. The state-specific Arrest Warrant IEPD would be used to exchange warrant information among different jurisdictions in the state or between a jurisdiction and the state repository.

Carrying this concept further down, a countywide justice enterprise could use the State Arrest Warrant IEPD as a reference model to develop its IEPD for an Arrest Warrant. This county-specific Arrest Warrant IEPD would be used to exchange warrant information among different organizations in the county. Continuing upward with this concept, national justice enterprises could use the Reference IEPD for an Arrest Warrant for exchanging warrant information among states or between states and the federal government. The benefit of this consistency is that organizations that implement information exchanges can more quickly and cost-effectively share data across many jurisdictions at all levels. IEPD and Reference IEPD take the benefits of using the GJXDM to a higher level. Ultimately, organizations implement information exchanges based on IEPD, not on the GJXDM.

Artifacts in Information Exchange Package Documentation

- Purpose and scope
- List of artifacts
- XML Schemas
- GJXDM Subset Schema
- Constraint Schema
- Extension XML Schema
- Document XML Schema
- Additional provisions
- Additional property definitions
- Minimal property set
- Additional business rules
- Other information.

Interstate Criminal History Transmission Specification (XML 3.0)

In 1995, the National Task Force on Increasing the Utility of the Criminal History Record made recommendations that included the creation of a transmission format for the interstate sharing of criminal history information. This task force addressed the states' and the Federal Bureau of Investigation's (FBI's) use of different formats and codes that make the interstate exchange and interpretation of criminal history information difficult. Also, it found there was no method for combing or electronically collating criminal records from multiple sources into a single chronological record of events.

A national task force, the Joint Task Force on Rap Sheet Standardization (JTF), composed of members representing the FBI's Criminal Justice Information Services Division (CJIS) and its Advisory Policy Board, SEARCH, the National Consortium for Justice Information and

Statistics, the National Law Enforcement Telecommunications System (NLETS), and state and local criminal justice agencies, was formed to address the problems that were identified. The outcome of this task force was the development of an XML-based standardized criminal history transmission format, a presentation format that uses the XML transmission format, and an illustrative example that combines criminal histories from multiple sources into a single criminal history.

Implementation of this specification by all states and the FBI provides for requestors to always receive the same set of information and always receive a single record for multi-source interstate criminal histories when criminal justice events are presented in chronological order. In February 2005, the JTF released version 3.0. JTF recommends the use of this standard for all development after January 1, 2005. At the time this plan was being written the JTF was just beginning evaluation of moving the RAP Sheet standard into NIEM compliance.

For more information, readers should refer to the following Web site:
<http://www.doj.state.wi.us/les/XML/jtf.htm>

National Crime Information Center (NCIC)

NCIC is a computerized index of criminal justice information (criminal record history information, fugitives, stolen properties, and missing persons). It is managed by the FBI's Criminal Justice Information Services Division in Clarksburg, West Virginia, and is available to federal, state, local law enforcement and other criminal justice agencies and operates 24 hours a day, 365 days a year. NCIC is maintained to provide a computerized database for ready access by a criminal justice agency making an inquiry and for prompt disclosure of information on crimes and criminals in the system from other criminal justice agencies. This information assists authorized agencies in criminal justice and related law enforcement objectives, such as apprehending fugitives, locating missing persons, and locating and returning stolen property, and in the protection of the law enforcement officers encountering the individuals described in the system.

Information in the files includes things such as wanted persons, missing persons, individuals who pose a threat to the President, other protectees, or both; members of violent criminal gangs; members of terrorist organizations; and stolen vehicles, boats, guns, and securities. The FBI carefully controls access to this information through a long-standing shared management advisory process with state and local users. The CJIS Advisory Process provides operational and policy recommendations to the Director of the FBI. Since 1967 with the beginning of NCIC, those recommendations have been approved, with very rare exception.

Through the Advisory Process, the decision has been made to move NCIC, as well as the Interstate Identification Index criminal history system to NIEM compliance.

For more information, readers should visit NCIC's Web site at
<http://www.fbi.gov/hq/cjisd/ncic.htm>

National Law Enforcement Telecommunications System (NLETS)

NLETS is a not-for-profit organization that is owned and governed by the states. Representatives from each state elect a board of directors and officers annually. They set policies and procedures, define standards, approve members, establish fees, and so forth. A professional staff is responsible for the day-to-day administration and operations of the system. Membership dues are the main source of revenue to operate NLETS.

Users consist all of the states and territories, all federal agencies with a justice component, and selected international agencies, all exchanging data cooperatively. The types of data exchanged vary from motor vehicle and driver's data, Canadian “Hot File” records, and Immigration and Customs Enforcement (ICE) databases to state criminal history records. More than 34 million messages are transacted each month.

Unlike 30 years ago, today's networks and systems the law enforcement community uses are faster, more reliable, and more consistent. Internet technologies have made it easier for law enforcement organizations to operate in a loosely coupled environment, eliminating the need for the old message switching model. Today, XML and Web Services are the ideal technologies to exchange law enforcement data transactions, and standardization efforts are under way. NLETS published a complete XML specification for the inquiry formats and response formats, all of which comply with the XML Data GJXDM. The ability to regulate data content by schema and to view data through a common style sheet will be of tremendous value to law enforcement personnel who may need access to data from 50 different states. NLETS offers all transactions in a GJXDM-compliant XML format, including the Joint Task Force Criminal History Rapsheet.

For more information, readers should visit the Web site of NLETS at www.nlets.org

Americans with Disabilities Act of 1990 (ADA)

The Americans with Disabilities Act of 1990 (ADA) generally requires state and local governments to provide equal access to their programs, services, and activities to individuals covered by this act. The ADA applies to Texas justice, public safety, and homeland security systems and networks being moved towards NIEM compliance. Government Web sites are one way to help meet these requirements. Meeting the requirements for Web sites requires following guidelines and testing Web content to make sure it is accessible. The ADA for Web site development can be found in the “Accessibility of State and Local Government Websites to People with Disabilities” document at www.ada.gov/websites2_scrn.pdf. Moreover, “Bobby” is a popular tool for testing pages for ADA compliance. It is available at <http://webxact.watchfire.com/>.

Additional information is also available from the DOJ at www.usdoj.gov/crt/ada/.

Reference Web Site Resources

The following Web sites provide useful information on standards that were developed and on what is being done to implement and update them.

Federal Agencies

Department of Homeland Security	www.dhs.gov
Federal Bureau of Investigation	www.fbi.gov
OJP's Information Technology Initiatives	www.it.ojp.gov
Bureau of Justice Statistics	www.ojp.usdoj.gov/bjs/
Bureau of Justice Assistance	www.ojp.usdoj.gov/bja/
Drug Enforcement Administration	www.usdoj.gov/dea/
U.S. Courts	www.uscourts.gov
U.S. Government Portal	www.firstgov.gov

National Organizations

National Information Exchange Model (NIEM)	www.niem.gov
SEARCH	www.search.org
National Association of State Chief Information Officers	www.nascio.org
National Law Enforcement Telecommunications System	www.nlets.org
Conference of State Court Administrators	cosca.ncsc.dni.us
Integrated Justice Information Systems	www.ijis.org
Justice Information Sharing Practitioners	www.jisp.us
National Association for Justice Information Systems	www.najis.org
American Correctional Association	www.corrections.com/aca/
American Jail Association	www.corrections.com/aja/
American Probation & Parole Association	www.appa-net.org
Association of Public Safety Communications Officials	www.apcointl.org
International Association of Chiefs of Police	www.iacp.org
National Criminal Justice Association	www.ncja.org
National District Attorneys Association	www.ndaa.org
National Emergency Management Association	www.nema.org

Standards Groups

World Wide Web Consortium	www.w3.org
OASIS Consortium	www.OASIS-Open.org
Ecma International	www.ecma-international.org
National Institute of Standards & Technology	www.nist.gov
American National Standards Institute	www.ansi.org

Appendix C. Statute citations affecting the ability to share justice information

This section presents discussions concerning statutes that potentially affect the ability to share justice information in the State of Texas. A summary of the analysis for each reference item is listed in the sections below. A detailed analysis of the list of statutes is available within the [TJI3 Documentation Findings Report Final v1.3](#).

Summary for Government Code, Title 4 – Executive Branch

Chapter 411, Department of Public Safety of the State of Texas

Section 411.042, Bureau of Identification and Records

Section 411, Sub Chapter F

The provisions here are focused on requirements for the Department of Public Safety to exchange information with any and all required entities to protect the public welfare.

1. The requirements are fairly broad in scope and focus on the following:
 - Identifying the sources of information
 - Creating agreements & making arrangements to exchange information
 - Recognizing the rules and ‘triggers’ for exchange as defined within the code,
 - Interpretation of these to ensure consistency.

In other words this code instructs DPS in a very broad way to exchange information as needed to protect the public. In order to implement this there are a lot of details, both business and technical that need to be worked out. This is what most affects the ability to “share justice information”.

Summary for Government Code, Title 5 – Open Government; Ethics

Chapter 552, Public Information (Entire Chapter)

Much of Title 5, Open Government, related to the disclosure of justice information to the public; is exempt. The information to the public is restricted by several factors:

1. The ‘state’ of the case against an offender, i.e. the case is still open
2. The privacy of victims
3. The privacy of LE & Corrections officers, prosecutors, judges, etc., particularly where there have been threats made.

For that information that can be released the aspects relating to ‘sharing’ this information revolve around:

1. Determining the Source for the requested information
2. Determining the rules (the exceptions) that might relate to its release
3. Arrangements for delivery, i.e. access, format, etc.

Summary for Family Code, Title 3 – Juvenile Justice Code

Chapter 58, Records, Juvenile Justice Information System (Entire Chapter)

This Chapter is primarily focused on protecting the privacy of juvenile offenders who reform their behavior and never repeat an offense while a minor.

1. This is primarily a detailed explanation of what records can be kept for each youthful offender and how long they can be kept.
2. From an information sharing perspective the policies drive a focus on 1) where LEs send this information 2) how long it can be kept 3) how to destroy or ‘seal’ cases.
3. The key attribute here is ensuring consistency between the LEs and the receiving agencies driven by the events as prescribed in this chapter.
4. Also, there are a lot of repeated items as far as who can see data and under what conditions.

Summary for Code of Criminal Procedures, Title 1 – Code of Criminal Procedures

Chapter 42, Judgment and Sentence; Article 42.09, Section 8

This statute focuses on the reporting requirements that every Texas County must comply with when transferring a ‘defendant to the Texas Department of Criminal Justice for incarceration. Subsections a), c) & i) are the relevant paragraphs to information sharing.

1. There are about 20 different reports identified as being required if applicable and/or requested. There is little indication that any of these reports are currently available in standard systems or in any sort of standard format between counties.
2. Subsection (i) states that a county may submit all required documents “electronically”. This does not appear to be a requirement of the county but it would be a requirement of the TDCJ to receive the documents electronically if the county so desires.
3. There does not appear to be a two-way “exchange” of data here, so information sharing is focused on the one-way delivery of data to TDCJ. Therefore TDCJ would need to understand the variety of reports it is expected to receive and have in place arrangements with the counties to receive the reports in both electronic and paper format. How effectively this would be accomplished is obviously a function of the level of standardization between the county and state and availability of automated systems at the state to receive and manage the input.
4. A key attribute is ensuring information sharing as it relates to these processes.

Chapter 60, Criminal History Record System (Entire Chapter)

Information in the Code of Criminal Procedure Chapter 60, Criminal History Record System is focused on defining the required information to be contained in the two information systems that make up the Criminal Justice Information system, i.e. Corrections and CCH.

1. Contained within these requirements are broad requirements for the systems to be able to send and receive information to and from all “criminal justice agencies” and a variety of other boards and licensed entities.
2. Arrangements both operational and technical for the sharing of this information as required must be made.
3. The systems must also incorporate other rules of confidentiality and access as instituted in other state and federal statutes.

Other Citations:

Alcoholic Beverage Commission

Alcoholic Beverage Code, Title 2, Chapter 5

Comptroller of Public Accounts

Texas Government Code, Title 3, Subtitle A, Chapter 403

Criminal Justice Policy Council

Texas Government Code, Title 3, Subtitle B, Chapter 413

Department of Criminal Justice

Texas Government Code, Title 3, Subtitle G, Chapter 491

Department of Public Safety

Texas Government Code, Title 3, Subtitle B, Chapter 411

Judicial Committee on Information Technology

Texas Government Code, Chapter 77

Juvenile Probation Commission

Human Resources Code, Title 10, Subtitle A, Chapter 141

Office of the Attorney General

Texas Government Code, Title 3, Subtitle A, Chapter 402

Office of Court Administration

Texas Government Code, Title 2, Subtitle F, Chapter 72

Texas Department of Health

Health and Safety Code, Title 2, Subtitle A, Chapter 11

Texas Judicial Council

Texas Government Code, Chapter 71

Workers Compensation Commission

Labor Code, Title 5, Subtitle A, Chapter 402

Youth Commission

Human Resources Code, Title 3, Subtitle A, Chapter 61

Appendix D. Grant Funding Links

Identifying funding sources is often one of the most difficult challenges facing any justice and public safety information sharing efforts. The Texas justice, public safety and homeland security community is committed to moving forward with its information sharing strategic plan through a combination of internal resources and grants from federal sources. This appendix to the strategic plan presents a perspective of the current and future environment for receiving grant funding.

The events of September 11, 2001 and the establishment of the U.S. Department of Homeland Security (DHS) dramatically changed the landscape for grant funding. Several historical grant programs are being discontinued and others, particularly in DHS, are being established and adjusted year by year to better respond to the needs of grant recipients. The two primary federal departments that fund integrated justice and information sharing projects are the DHS and the Department of Justice (DOJ). Each of these departments administers a number of related grant programs in 2007

A brief perspective on these grant programs is provided in this appendix. More specific grant program details can be located through the referenced grant funding links.

Homeland Security Grant Program (HSGP)

The 2007 Homeland Security Grant Program (HSGP) will award more than \$1.6 billion to enhance the ability of states, territories, and urban areas to prepare for, prevent, and respond to terrorist attacks and other major disasters. HSGP funds can be used for preparedness planning, equipment acquisition, training, exercises, management, and administration in order to obtain resources that are critical to building and sustaining capabilities that are aligned with the Interim National Preparedness Goal and respective State and Urban Area Homeland Security Strategies¹⁴.

HSGP is the primary funding mechanism for building and sustaining national preparedness capabilities¹⁵. Among the HSGP grant programs are specific grant opportunities related to fusion centers and information sharing. Strategic plan stakeholders interested in pursuing grant funding opportunities are encouraged to read this annual guide for 2007 and again when it is published at the end of every year to understand the potential grant funding opportunities available through the HSGP.

Homeland Security Grant Program: http://www.ojp.usdoj.gov/odp/grants_hsgp.htm

¹⁴ U.S. Department of Homeland Security, http://www.ojp.usdoj.gov/odp/grants_hsgp.htm

¹⁵ U.S. Department of Homeland Security, http://www.ojp.usdoj.gov/odp/docs/fy07_hsgp_overview.pdf

Department of Justice Grant Programs

The Department of Justice, Office of Justice Programs offers federal financial assistance to scholars, practitioners, experts, and state and local governments and agencies. A number of the Department's program bureaus and offices award formula grants to state agencies which then sub-grant funds to units of state and local government. Discretionary grant funds are announced in the Federal Register or through program solicitations that can also be found through bureau and OJP Web sites¹⁶.

Justice Assistance Grant (JAG) Program

JAG replaces the Byrne Formula and Local Law Enforcement Block Grant (LLEBG) programs with a single funding mechanism that simplifies the administration process for grantees. JAG allows state and local governments to support a broad range of activities to prevent and control crime and to improve the criminal justice system.

JAG purpose areas consist of the following programs:

- Law enforcement
- Prosecution and court
- Prevention and education
- Corrections and community corrections
- Drug treatment
- Planning, evaluation, and technology improvement.

More detailed grant information can be found at the following JAG program link:
<http://www.ojp.usdoj.gov/BJA/grant/jag.html>.

Community Oriented Policing Services (COPS) Technology Grants

COPS Technology Grants provide funds for the continued development of technologies and automated systems that help tribal, state, and local law enforcement agencies prevent, respond to, and investigate crime. These funds allow state agencies to purchase technologies to advance communications interoperability, information sharing, crime analysis, intelligence gathering, and crime prevention in their communities.

¹⁶ U.S. Department of Justice, <http://www.usdoj.gov/10grants/>

More detailed grant information can be found at the following COPS funding link:
<http://www.cops.usdoj.gov/Default.asp?Item=46>.

Crime Identification Technology Act (CITA)

The Crime Identification Technology Act (CITA) was authorized with the passage of Public Law 105-251 on October 9, 1998, and provides states with assistance to establish or upgrade criminal justice information systems and identification technologies. CITA expands on the National Criminal History Improvement Program (NCHIP) administered by OJP's Bureau of Justice Statistics (BJS) and provides assistance for virtually every technology-based, criminal justice information, identification, and communications need.

CITA funds also can be used to support state and local participation in national databases managed by the Federal Bureau of Investigation (FBI), such as the National Instant Check System (NICS), the Combined DNA Information System (CODIS), and the Interstate Identification Index system. States, together with local governments, can use funds awarded under CITA to improve or expand criminal justice technology efforts in 17 specified areas.

More detailed grant information can be found at the following CITA grant program link:
<http://it.ojp.gov/fund/files/cita.html>.

National Criminal History Improvement Program (NCHIP)

The National Criminal History Improvement Program (NCHIP) was initiated in fiscal year 1995 to implement the Brady Handgun Violence Prevention Act of 1993. In fiscal year 1996, the NCHIP expanded to implement the National Child Protection Act of 1993 and the National Stalker and Domestic Violence Reduction program.

NCHIP is instrumental in (1) addressing record management of and access to data associated with and needed for firearm permits that identify persons ineligible to purchase a firearm and (2) providing law enforcement personnel and others with data to ensure that persons with responsibility for child care, elder care, and care of the disabled do not have disqualifying criminal records, are subject to protection orders, or are wanted for stalking and domestic violence.

More detailed grant information can be found at the following NCHIP program link:
<http://www.ojp.usdoj.gov/bjs/pub/html/nchip07sol.htm>.

Appendix E. Source Data

Information utilized as the basis for this 2007 update of the TJI3 Plan was consolidated from multiple sources intended to provide the current status of on-going information sharing initiatives, barriers to information sharing, and stakeholder perspective on the Vision, Mission, Governance, and goals of the original 2002 TJI3 Plan. The source for this information included a set of reference documents identified as being influential to the identified goals of this engagement which included the original 2002 version of the plan; findings from a pair of stakeholder focus group work sessions conducted in Houston and Arlington; and the results of a companion on-line survey to the work sessions completed by stakeholders.

Project Reference Documents

The reference documents reviewed for information on the current status of on-going information sharing initiatives, barriers to information sharing, and stakeholder perspective on the vision, mission, governance, and goals of the TJI3 Plan is presented in the following list.

1. The original 2002 TJI3 Plan
2. Texas Justice Information Exchange Model (TJIEM); Planning Document
3. Conference of Urban Counties; Integrated Justice Use Cases
4. Texas Justice Data Dictionary; Database File
5. Statutes that might impact the ability to share justice information.
6. Artifacts and deliverables from the JIEM modeling efforts in Galveston and Tarrant Counties
7. The National Information Exchange Model (NIEM)
 - a Introduction
 - b Concept of Operations
 - c Information Exchange Package Documentation
 - d Naming and Design Rules and Data Modeling Guidelines
8. The SEARCH, Justice Information Exchange Model (JIEM).

The result of the document review identified salient points that were relevant in the current Texas justice information sharing environment. These points are documented by reference document and are available in the TJI3 Documentation Findings Report referenced at the end of this appendix.

Work Sessions

A pair of work sessions was facilitated with focus groups from the Path to NIEM stakeholder community to review the initial outcome of the reference document review as well as the original 2002 TJI3 Plan content. The focus group work sessions were held at stakeholder facilities in Houston and Arlington. The current status of on-going information sharing initiatives, barriers to information sharing, and stakeholder perspective on the vision, mission, governance, and goals were also discussed.

The outcome from the work sessions included documenting notes and salient points that were relevant in the current Texas justice information sharing environment. The notes and salient points from these work sessions are available in the TJI3 Documentation Findings Report referenced at the end of this appendix.

Companion Survey

The survey was conducted as a companion effort to the Path to NIEM Focus Group Work Sessions conducted in Houston and Arlington providing an additional method to capture stakeholder feedback. A main objective of the survey was to elicit input from geographically dispersed stakeholders throughout the State of Texas particularly those who could not actively participate in the focus group sessions. The goal of the survey was to capture information from stakeholders identifying the high-level needs, concerns, obstacles, and issues related to the original 2002 TJI3 Plan and to determine how they have changed over the past five years in relationship to justice information sharing in Texas today.

The findings from the survey can be referenced in Appendix F.

TJI3 Documentation Findings Report

A detailed review of the results of the reference document review, work sessions, and companion survey utilized in the update of this plan is documented in a TJI3 Documentation Findings Report. To review the content of the TJI3 Documentation Findings Report please contact:

CRS Project Management Office
512-424-7130

Appendix F. Survey Results

Stakeholder Survey

This section presents the results and analysis of a survey conducted of stakeholders who are part of the Texas criminal justice community. The goal of this on-line survey was to capture their high-level needs, concerns, obstacles, and issues related to the TJI3 Plan and to determine how they have changed over the past five years. This survey elicits input from stakeholders who are geographically dispersed throughout the State of Texas, and who could not be part of the focus group sessions; it serves to supplement the information obtained during the focus group work sessions conducted in Houston and Arlington.

The survey captures information identifying the organizational, technological, and data-related impediments to automated information sharing and data exchange as well as identifying information related to initiatives, policies and readiness (to share). The detailed survey findings, including methodology, can be found in Appendix B of the Documentation Findings Report.

An invitation to take the on-line survey was sent to 174 Texas stakeholders; 97 responded for a response rate of approximately 56%. A profile of the respondents by current position, government agency affiliation, agency type, and county are outlined in the charts and tables that follow.

Profile of Respondents

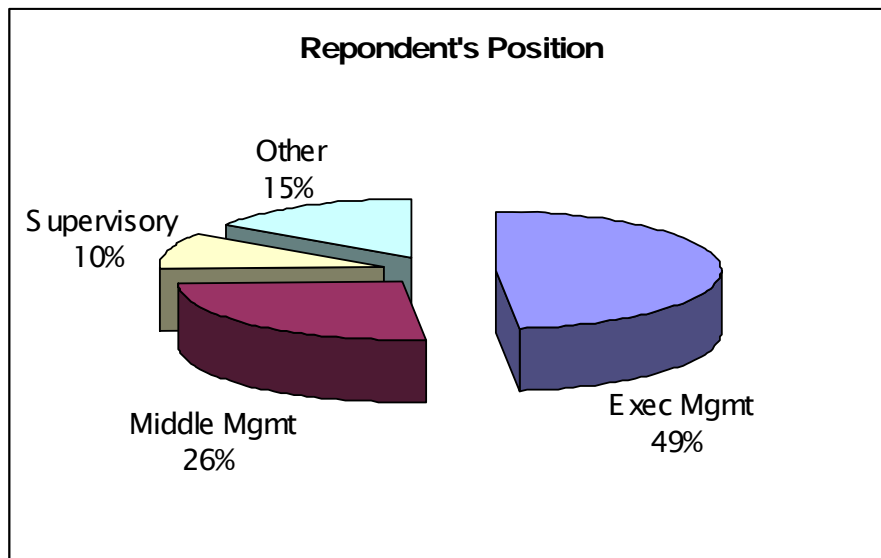


Chart 1 Respondent's Position in Agency

- The majority of the respondents serve at the executive management level

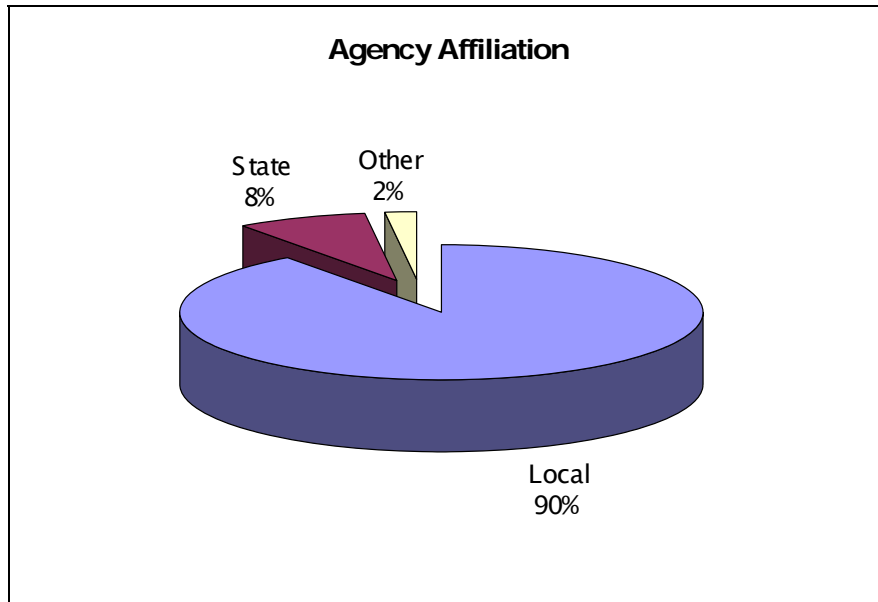


Chart 2 Agency Affiliation

- The majority of the respondents are from local agencies

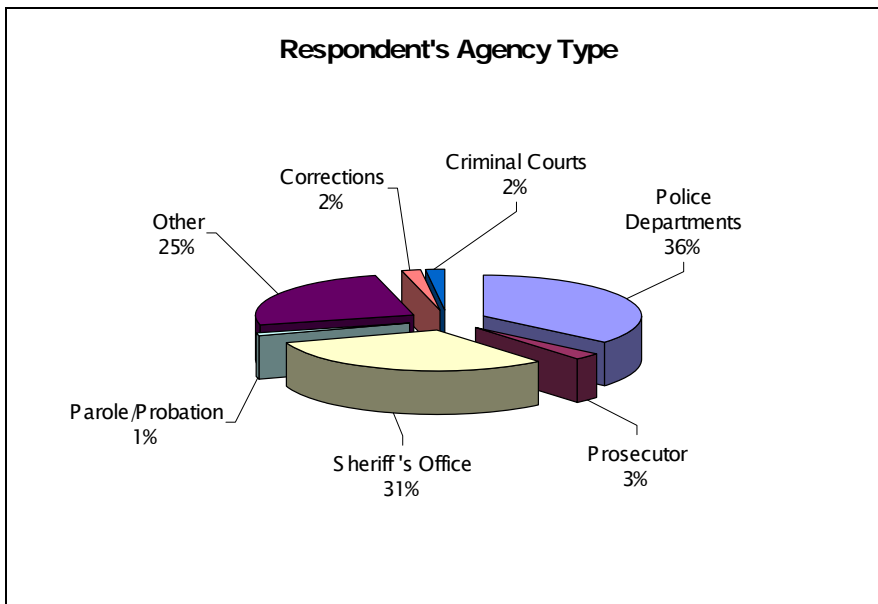


Chart 3 Respondent's Agency Type

- The majority of the respondents are from law enforcement agencies

Geographic Location of Respondents

The respondents identified their work location as being within 54 of 254 counties with the largest responses coming from:

- Tarrant - 15 (28%),
- Harris & Travis - 6 (11%),
- El Paso, Dallas, Galveston, & Collin – 4 (7%),
- The remaining 54% were geographically dispersed from throughout 47 other counties.

Summary of Survey Findings

The survey gathered information in two major areas, Impediments to Information Sharing and Data Exchange, and Automated Information Sharing and Data Exchange Initiatives, Policies and Readiness. Categories of specific questions were presented in each of the two major areas as follows:

- Impediments to Information Sharing and Data Exchange
 - Organizational Impediments
 - Technological Impediments
 - Data-Related Impediments
- Automated Information Sharing and Data Exchange
 - Initiatives
 - Policies
 - Readiness.

Findings – Existing Impediments to Information Sharing

Data-related impediments: the survey findings suggest that the most significant impediments are data related, as follows:

- Data standards – ranked the highest of all concerns
- Uniformity and consensus on data – ranked a close second

- Missing data.

Table 1 Related Impediments to Information Sharing

Data-related Impediments to Information Sharing	Agree	Neutral	Disagree
Lack of data standards or non-standard data	69.07%	16.49%	14.43%
Minimal uniformity and consensus on data	66.67%	20.83%	12.50%
Missing data or data not captured	65.26%	21.05%	13.68%
Conflicting data definitions	62.50%	21.88%	15.63%
Data integrity (lack of quality control of data in the systems)	61.46%	25.00%	13.54%
Mismatched data structures	60.82%	26.80%	12.37%
Incompatible database designs	58.76%	21.65%	19.59%
Lack of reliability and/or compatibility of the data	53.61%	27.84%	18.56%

Organizational impediments follow closely behind data standards, in ranking order:

- Lack of interagency collaboration or agreement
- Lack of planning or an overall plan
- Concerns about privacy.

Table 2 Organizational Impediments to Information Sharing

Organizational Impediments to Info Sharing	Agree	Neutral	Disagree
Lack of interagency collaboration or agreement	65.98%	19.59%	14.43%
Lack of direction or a plan	60.42%	21.88%	17.71%
Legal/privacy issues	60.00%	22.11%	17.89%
Minimal uniformity and/or consensus on procedures are impediments	58.76%	14.43%	26.80%
Lack of shared decision making	55.67%	23.71%	20.62%
Information is not shared to reduce or control risk	54.26%	28.72%	17.02%
Information is not shared due to the costs of change	50.52%	21.65%	27.84%
Conflicting organizational goals and priorities	44.79%	28.13%	27.08%
Information is not shared to preserve autonomy	41.24%	31.96%	26.80%

Technological impediments, while issues for the respondents, appeared to concern the respondents the least with the below being the most salient issues:

- Incompatibility or complexity of software
- Infrastructure
- Network and communications.

Table 3 Technological Impediments to Information Sharing

Technological Impediments to Info sharing	Agree	Neutral	Disagree
Incompatibility or complexity of software	64.89%	13.83%	21.28%
Minimal uniformity and consensus on infrastructure	58.76%	21.65%	19.59%
Incompatibility or complexity of networks/telecommunications systems	54.64%	16.49%	28.87%
System security concerns prevent the sharing of information	53.61%	22.68%	23.71%
Incompatibility or complexity of hardware,	52.08%	20.83%	27.08%
Internal stand-alone systems contain critical info	51.04%	28.13%	20.83%
Information infrastructure (lack of networks, bandwidth, etc)	49.48%	20.62%	29.90%
All or part of the information I need or would like to share with other agencies is kept manually	28.13%	17.71%	54.17%

Findings – Automated Information Sharing and Data Exchange: Initiatives, Policies and Readiness

Initiatives

- They clearly recognize the need to exchange data with state agencies
- Majority are involved in data exchange initiatives within their county
- Many are involved in data exchange initiatives with agencies in other counties
- Majority are involved in data exchange initiatives with more then 2 State agencies.

Table 4 Information Sharing & Data Exchange Initiatives

Information Sharing and Data Exchange Initiatives	Agree	Neutral	Disagree
My agency participates in a data exchange initiative which includes more than 2 State agencies	80.41%	13.40%	6.19%
My agency has a need to exchange data with State agencies	61.86%	9.28%	28.87%
My agency participates in a data exchange initiative which includes more than 2 other agencies within my county	48.96%	27.08%	23.96%
My agency participates in a data exchange initiative which includes more than 2 other agencies in other counties	45.36%	18.56%	36.08%

Standards & Policies

- There appears to be uncertainty regarding the existence of uniform policies for data ownership, access, and maintenance
- There is a clear lack of the following:

- acquisition standards,
- quality standards,
- standard definitions,
- uniform policies.

Table 5 Data Exchange Standards and Policies

Data Exchange Standards and Policies	Agree	Neutral	Disagree
Acquisition standards for all data have been adopted	37.50%	28.13%	34.38%
We have adopted acquisition standards for all data	36.08%	29.90%	34.02%
Uniform policies for data ownership and for data access exist	20.62%	40.21%	39.18%
Quality standards for all data have been adopted	16.49%	42.27%	41.24%
Uniform policies for data quality exist	16.49%	35.05%	48.45%
Standard definitions for all data have been adopted	15.63%	38.54%	45.83%
There are uniform policies for data maintenance	15.63%	42.71%	41.67%

Data Sharing Readiness

- Stakeholders are clearly willing to participate in a governance body
- Many currently participate in an authoritative governance body.
- They are willing to reconcile discrepancies in data requirements
- There appears to be some doubt concerning staff experience in sharing data
- There also appears to be some doubt that user’s data requirements are well understood.

Table 6 Information Sharing and Data Exchange Readiness

Information Sharing and Data Exchange Readiness	Agree	Neutral	Disagree
Staff has extensive experience in sharing data	31.58%	31.58%	36.84%
Users' data requirements are well understood	33.33%	33.33%	33.33%
We are willing to reconcile discrepancies in data requirements in order to exchange data	70.83%	25.00%	4.17%
We participate in a governance body that has the authority it needs to successfully engage in the exchange of data among agencies	55.21%	30.21%	14.58%
We are willing to participate in a governance body that has the authority to successfully promote the exchange of data between State and Local agencies	80.21%	18.75%	1.04%

Implications and Recommendations

Governance – It is clear that the respondents collectively wish to be a part of the effort to enable a greater degree of information sharing throughout the State. An impressive 80% expressed a willingness to participate in a governance body with authority to successfully promote the exchange of data between State and Local agencies. These findings suggest that the TIJIS group will get needed support in its effort to formalize the Governance. This finding is aligned with the findings of the focus group discussions associated with governance. In addition, many of the respondents already participate in an authoritative governance body. This existing base of organizations has the potential to strengthen the overall effort in both creating standards and facilitating statewide sharing.

Recommendation #1 – The collective stakeholder group (TIJIS or other such body) should continue with their efforts to formalize and fully develop a governance structure. This effort should involve stakeholders in different areas of the State and should occur in collaboration with the governance bodies currently in existence. Leveraging the governance bodies currently in existence can create a true statewide base of stakeholders united with the same vision for information sharing.

Standards and Policies are clearly lacking. This is especially true in the area of acquisition standards, quality standards, standard definitions, and uniform policies. Without these important standards, information sharing on a statewide basis will be difficult, at best. The current work being done by the TIJIS group in creating a data reference model in conformance with national standards is a good first step in resolving the standards issue.

Recommendation #2 – The creation of the NIEM compliant data reference model should be followed by a continued effort to build upon that model. This dynamic effort must involve the following:

- leadership – a group that will champion and promote the cause,
- collaboration – involvement by representatives of the entire justice and public safety community throughout the great State of Texas,
- promotion of the development and use of statewide policies and Standards related to information sharing.

Technological impediments identified fall into three major areas: incompatibility or complexity of software, infrastructure, and network and communications. While these survey findings lack detail, the potential implications could be detrimental to information sharing efforts. The findings related to software incompatibility or complexity also suggest a lack of understanding of data standards as a means to achieving the exchange of information among disparate and very different systems.

Recommendation #3 – Consideration should be given to further discerning the specific problems or issues and developing a plan with priorities, in terms of initiatives, to be brought before the State’s Telecommunications Governance body. A united front by the justice and public safety

community in presenting these issues should go a long way toward getting the attention needed and resolving the problems.

Recommendation #4 – While the TIJIS group should not attempt to resolve issues associated with software incompatibility or complexity, it can assist by continuing efforts to develop exchange standards and promoting those efforts. In addition, a training or outreach program might be useful in educating the community about data standards and how they might help an agency to overcome software incompatibility problems.

Organizational impediments noted were in the following areas: lack of interagency collaboration or agreement, lack of an overall plan, and concerns about privacy. These issues, even if they are nothing more than the perceptions of certain stakeholders, can be impediments to information sharing.

Recommendation #5 – This recommendation is aligned with recommendations #1 and #2. Continued movement by the TIJIS group to formalize and expand the governance body to be more inclusive, will promote collaboration. The TJI3 plan is a step in the “right direction” and will serve as a foundation for further planning. Privacy is an issue that needs to be addressed. As a start, the stakeholder community (TIJIS Group) could consider the privacy model being developed as part the FBI N-DEx program. It can be adapted and modified, as necessary, to meet the needs of the State of Texas.

Data-related impediments were the most significant impediments reported by the stakeholders. The biggest concern for stakeholders is the lack of data standards. This was followed by uniformity and consensus on data, which ranked a close second and finally, missing data. In an absolute sense, all of these could present a problem in an agency’s ability to share information. However, the current efforts by the existing TIJIS Group, i.e., the Path to NIEM and the data reference model development, will go a long way toward resolving many of the data-related problems. The missing data issue is largely a responsibility of the contributor or owner of the data.

Recommendation #6 – This recommendation is aligned with the recommendation #2. Continued movement by the TIJIS group to create the NIEM compliant data reference model should help in alleviating this problem. However, this should be an on-going process so that the model can be expanded to build upon that model.

Acknowledgments

The original concept of organizing Texas Integrated Justice Information Systems (TIJIS) emerged from a meeting on June 12, 2002, in Austin that was facilitated by G. K. Maenius, Tarrant County Administrator and hosted by the Texas Association of Counties (TAC) and the County Information Resources Agency (CIRA). The meeting focused on developing a model regional information management system to enable counties and cities throughout Texas to exchange justice and emergency management information.

As a result of that meeting, an ad hoc committee was established and was sponsored by the Texas Criminal Justice Information Users Group (TCJIUG). The membership at that time included:

Les Smith (Chair)	Tarrant County
Tammy Cannon	Texas Department of Criminal Justice
Tom Cowan	Burleson Police Department
Joe Fierro	Collin County
Mimzi Foreman	Galveston County
David Gavin	Department of Public Safety
Kirk Greene	Galveston County
Michael Griffith	Office of Court Administration
Joe Harlow	Travis County
Clete McAlister	Tarrant County
Shannon Porterfield	Department of Information Resources
Jimmy Ray	Harris County
Stan Reid	County Information Resources Agency
Mike Shannon	Harris County

In 2004, under the leadership of Les Smith, Tarrant County Criminal Justice Manager who served as chair from 2002 through July, 2007, an amendment to the existing TCJIUG-IJIS Charter was authorized that established the TIJIS Steering Committee as a separate organization from TCJIUG and authorized the organization to restructure and expand its membership to include representatives from federal, state, multi-state, county and municipal governmental entities, representatives of the business community and members of the general public.

The TIJIS membership as of July 2007 includes:

Kirk Greene Chair	Galveston County
Les Smith - Co-Chair	Tarrant County
Larry Barclay	Arlington Police Department
Ken Burton	Haltom City Police Department
Tammy Cannon	Texas Department of Criminal Justice
Tom Cowan	Burleson Police Department
Lawrence Crabb	County Information Resources Agency

Mike Crumpton	Galveston County
Greg Dawson	North Central Texas Council of Governments
David Ducan	Department of Information Resources
Joe Fiero	Collin County
Al Garcia	Houston Police Department
David Gavin	Department of Public Safety
Charles Gray	Conference of Urban Counties
Joe Harlow	Travis County
Bruce Hermes	Office of Court Administration
Rex Hoskins	Decatur Police Department
Gayle Latham	County Information
Don Lee	Conference of Urban Counties
Mark Lee	Galveston County
Mike Lesko	Department of Public Safety
Clete McAlister	Tarrant County
Gary McFarland	Texas Association of Information Technology Managers
Steve Moore	Hurst Police Dept.
Robert Neff	North Central Texas Council of Governments
Jeff Nicholson	Tarrant County S.O.
Mike Ouimet	Department of Information Resources
Margaret Rabbit	TX Homeland Security A???
Stan Reid	Texas Association of Counties
Sherryl Scott	Dallas Police Department
Mike Shannon	Harris County
Governor's Office of Homeland Security	

The TIJIS Steering Committee also appreciates the time and contributions of several individuals who were interviewed and shared their insight and experience with the statewide and regional information sharing initiatives within their own states. These individuals were:

- Mr. James Dyche, Information Systems Manager, the Pennsylvania Justice Network (JNET)
- Ms. Linda Rosenberg, Pennsylvania Director of Criminal Justice System Improvement
- Mr. James Pingel, Director, Wisconsin Justice Information System (WIJIS)
- Mr. Gerald Coleman, Director, Wisconsin Crime Information Bureau
- Mr. Joseph Vaughn, Technical Manager, Automated Regional Justice Information Sharing (AEJIS)

Representatives from state agencies and local government were vital in providing key input, influence, direction, information, participating in the various workshops, conference calls, feedback on drafts, and numerous meetings to assist in the development of this plan. To those dedicated individuals we'd like to acknowledge the contributions of:

Name	Organization
Ada, Michael	Texas Regional Council
Adams, Ladondra	TDCJ
Alejandro, Sharon	Bexar County
Ali, Syed	Houston PD/Systems Cons.
Almaguer, Melissa	DFPS
Bartlett, Troy	DFPS
Johnson Bob	North Central Texas Fusion Center
Bond, Katie	OCA
Brissette, Miles	Tarrant County DA's Office
Brousard, Allen	OAG
Brown, Tully	DPS Assistant Chief IMS
Bynum, Natalie	Bexar County
Caldcleugh, Ransom	Travis County
Calderon, Mary Alice	Bexar County
Caldwell, Eric	Brazos County IT
Cannon, Tammy	TDCJ
Castillo, Victor	OAG
Clines, Robert	Dallas County
Davis, Kay	TDCJ
Davis, Mike	HPD Fusion Center
Dixon, LT. RF	FWRPD
Escalante, John	Bexar County
Evans, Jerrl	Harris County
Farris, Don	DPS
Favre, Monty	Tarrant County
Fierro, Joe	Collin County
Foley, Jim	Harris County District Clerk
Forsyth, Keith	Harris County DA's Office
Garcia, Al	Houston PD
Gavin, David	DPS
Gray, Charles	CUC
Greene, Kirk	Galveston County
Hall, Marilyn	Bell County Technology Services
Hermes, Bruce	OCA
Holzmeister, Charlotte	Plano
Hoskins, Rex	Decatur PD
Houston, Francis	TDCJ
Hutchins, Chris	North Texas HIDTA
Iselt, Jessica	DPS
Johnson, Al	Austin PD
Jones, Brian	Harris County SO
Jones, Mark	OAG - Field Regional Administrator

Name	Organization
Karshner, John	HPD Fusion Center
King, Curt	Harris County Courts
Kopp, Jim	DA's Office Bexar County
Latham, Gayle	CIRA
Lee, Mark	Galveston County IT
Lesko, Mike	DPS
Leverette, Harry	Harris County Courts
Lewis, Cal	Fort Worth PD
Logan, Brock	Commission on State Emer. Comm.
Longoria, William	Bexar County Pretrial
Lowry, Karen	TDCJ
Lozano, Sylvia	Bexar County
McClellan, Wendy	DA's Office Bexar County
McConnell, Gail	Montgomery County DA
McDonald, Stacy	TYC
McFarland, Gary	West University Place
Miller, Randy	OAG
Mitschke, Christie	DFPS
Molina, Laurie	LBB
Monck, Harry	OAG - Senior Regional Attorney
Moore, Steve	Hurst PD
Neff, Robert	NCT Cog
Nemir, Cygne	El Paso County Attorney
Nichols, Charlotte	Galveston County Dist. Clerk
Olsen, Robert	Galveston County IT
Ouimet, Michael	DIR
Plant, Ed	Fort Bend County
Posey, John	TJPC
Rabbit, Margaret	TXHSA
Ramirez, Nicolas	Office of the Governor
Reid, Stan	TAC
Reynolds, Carl	OCA
Rigsby, Ben	Galveston County IT
Roehrig, Ned	Bell County Technology Services
Ruten, Stephen	Denton County
Salas, Carlos	Houston PD/IT Project Mgr.
Samuelson, Ron	Bexar County, CCRTs Mgr
Schweitzer, Robert	Houston PD/.Net Programmer
Shannon, Mike	Harris County
Shirley, Marshall	Montgomery County
Small, Tony	DPS Crash Records
Smith, Allen	Plano

Name	Organization
Smith, Les	Tarrant County
Stephens, David	Plano
Stokes, Tomas	Bell County Technology Services
Stone, Kelley	Collin County
Taylor, Desiree	DPS
Tetzlaff, Nancy	Bell County Technology Services
Tuttoilmondo, Ray	Galveston County SO
Wilson, Latonia	Galveston County District Court
Youngblood, Blake	OAG
Zaller, Gary	Harris County District Attorney

Glossary

ARJIS	Automated Regional Justice Information Sharing
Blueprint	Data and process models that map who needs justice information, where and when the information is needed, and the data definitions that are necessary to share information.
CCH	Computerized Criminal History
CIO	Chief Information Officer
CIRA	County Information Resources Agency (Texas)
CJD	Office of the Governor, Criminal Justice Division (Texas)
CJIS	Criminal Justice Information System
CJPC	Criminal Justice Policy Council
ConOps	Concept of Operations
COSCA	Conference of State Court Administrators
CTS	Corrections Tracking System (TDCJ)
Data Dictionary	Detailed definitions for each data element.
Data Model	The framework for identifying information and its relationships to other information technology components. A data model describes how data is interrelated and provides a foundation for planning and building future information systems and/or sharing information among disparate systems.
DHS	Department of Homeland Security
DIR	Department of Information Resources (Texas)
DOJ	Department of Justice (U.S.)
DPS	Department of Public Safety (Texas)
EDI	Electronic Data Interchange
ESB	Enterprise Service Bus
FAC	Federal Advisory Committee
FBI	Federal Bureau of Investigation
Fuginet	A database of information on parolees and parole violators, accessible by law enforcement via the Internet.
GAC	Global Advisory Committee
GIWG	Global Intelligence Working Group
GJXDM	Global Justice Extensible Markup Language (XML) Data Model
GJXDD	Global Justice XML Data Dictionary
GPIQWG	Global Privacy and Information Quality Working Group
GSWG	Global Security Working Group
GTRI	Georgia Tech Research Institute
GXSTF	Global XML Structure Task Force
IEPD	Information Exchange Package Documentation
III	Interstate Identification System
IJIS	Integrated Justice Information System
IP	Internet Protocol
JCIT	Judicial Committee on Information Technology (Texas)
JIEM	Justice Information Exchange Model

JNET	Pennsylvania Justice Network
MDVT	Model Development & Vitality Team
MOU	Memorandum of Understanding
NamUs	National Missing Persons Initiative
NCHIP	National Criminal History Improvement Program
NCIC	National Crime Information Center
NCSC	National Center for State Courts
N-DEx	National Data Exchange
NGA	National Governor's Association
NIBRS	National Incident-Based Reporting System
NIEM	National Information Exchange Model
NLETS	National Law Enforcement Telecommunications System
OASIS	Organization for the Advancement of Structured Information Standards
OCA	Office of Court Administration (Texas)
OJP	Office of Justice Programs (U.S. Department of Justice)
PCII	Protected Criminal Infrastructure Information
PMO	Program Management Office (DIR)
Repository	A centralized collection of data.
SEARCH	National Consortium for Justice Information and Statistics
SID	State Identification Number
TAC	Texas Association of Counties
TCIC	Texas Crime Information Center (DPS)
TCJS	Texas Commission on Jail Standards
TDCJ	Texas Department of Criminal Justice
TEX-AN	Texas Agency Network (DIR)
TJI3	Texas Justice Information Integration Initiative (also, TJIII)
TIJIS	Texas Integrated Justice Information Systems Steering Committee
TJPC	Texas Juvenile Probation Commission
TLETS	Texas Law Enforcement Telecommunications System
TPOC	Telecommunications Planning and Oversight Council (TEX-AN)
TYC	Texas Youth Commission
UCR	Uniform Crime Reporting
VoIP	Voice over Internet Protocol
XML	Extensible Markup Language
W3C	World Wide Web Consortium
WIJIS	Wisconsin Justice Information Sharing (project)