Maine Justice Agencies Implement N-DEx and eReferral Data Exchanges

By Glenda Winn, Maine State Police and Tami Getchell, Cumberland County District Attorney's Office

Maine justice agencies are collaborating on a unique information sharing project that leverages the Global Reference Architecture (GRA) and the National Information Exchange Model (NIEM) to enable local law enforcement agencies to electronically submit incident records to the FBI's National Data Exchange (N-DEx) and refer cases to the state's district attorneys. The project began as two independent initiatives with similar requirements that were able to take advantage of their common needs.

The first initiative was driven by the Cumberland County (Portland) District Attorney and the Maine District Attorneys Technical Services (MEDATS) office with the goal of allowing Cumberland County law enforcement agencies to elec-

tronically refer cases to the district attorney. At the same time, the Maine State Police (MSP) initiated a project to submit law enforcement incident data to the FBI's N-DEx system. Both initiatives sought to share very similar law enforcement incident records from each agency's records management system (RMS) to achieve these two complementary goals.

Maine justice agencies collaborate and coordinate justice information technology projects through the Maine Justice Information Sharing Architecture Steering Committee (MJISA). Through the work of this committee, MEDATS and MSP recognized the similarities of the projects and agreed to develop a common information sharing infrastructure to complete both initiatives. MSP received grant funding for their initiative as part of the

Bureau of Justice Assistance Justice Information Sharing program. The purpose of the grant was to demonstrate the applicability and benefits of the Global Reference Architecture (GRA) by implementing information sharing capabilities using open source, GRA conformant technologies. *(More information about the GRA can be found at www.it.ojp.gov.)*

The two groups recognized that both initiatives could share this common GRA infrastructure and agreed to build their respective information sharing capabilities doing so. In the end, the system enables local law enforcement agencies and the Maine State Police to submit incident data to either their local district attorney (the first site is the Cumberland County DA), and the N-DEx system or both. Each agency determines what data is shared, when it is shared and who it will be shared with.

MSP worked with SEARCH, The National Consortium for Justice Information and Statistics, to implement the

President's Message - 2012 NAJIS Conference

Join Us this October in Portland!

We're gearing up for another great conference this fall. NAJIS looked to the northeast as the venue for this year's conference and chose beautiful Portland, Maine.

This year's program includes a wide range of session topics with a focus on information sharing success stories and technology innovation. Information sharing is no longer the new kid on the block when it comes to technology. Standards have been established to facilitate information sharing. Beginning with the Glob-

al Justice XML Data Model and now the National Information Exchange Model (NIEM), defining what is shared is reliable and relatively easy. The growing body of standards under the Global Reference Architecture (GRA) makes it easier and cheaper to exchange data between disparate systems. Now, we need to see these technologies applied in the real world, and this year's conference includes a variety of such sessions. A recurring conference theme is the adoption of new technologies in the justice community,

Inside this issue:

NAJIS Releases National Justice Information Sharing Survey Results

By Mark Perbix, Principal Report Author

I n Spring 2011, NAJIS conducted the National Justice Information Sharing Survey. The results have been compiled, and the report will be available on the NAJIS website—www.najis.org this September.

The purpose of the survey was to comprehensively assess the level of information sharing occurring within the criminal justice and public safety communities. The survey asked respondents to identify what data they share (based on 38 predefined types of information), who they share it with (based on 11 predefined partners), and how is it shared—what technologies are used to share data. Respondents were then asked to identify the types of information systems they had access to, and concluded with several questions about challenges faced, additional information sharing needs, and the use of national standards and resources.

Summary of Results

A total of 416 survey responses were received. One hundred forty-eight (148) respondents answered questions in all sections of the survey and were the focus of the analyses performed. The 148 respondents represent an overall response rate was 35.6%. The report only analyzes aggregate data. In other words, it looks at all responses as a whole and does not attempt to distinguish patterns within each of the 11 predefined disciplines (law enforcement, courts, corrections, etc.).

The 148 responses provide the following picture of the respondents and information sharing practices:

Respondent Profile

Most respondents represent states (52.7%), counties/parishes (24.3%), and municipalities (13.5%). They add up to 90.5% of all respondents and constitute the target audience for the survey. Most respondents represent law enforcement and public safety (50.0%), followed by corrections and community corrections (17.6%), prosecution (8.8%), and justice services (7.4%).

Jurisdiction	Count
State	78
County/Parish	36
City/Municipality	20
Regional (Intrastate)	4
Regional (Interstate)	1
Special District	1
Federal	5
Tribal	2
Vendor	1
Total	148

Information Sharing Capabilities

The overall level of information sharing between disciplines is lower than expected. 32.4% of respondents send or provide data to one or more partners, while only 29.3% receive data from one or more partners. The disciplines that most frequently send or provide information to other disciplines are Law Enforcement (63.1%), Courts (48.1%), Criminal History Repositories (44.5%), and Corrections (39.7%). Similarly, the disciplines that most frequently receive data include Law Enforcement (64.4%), Courts (56.8%), Corrections (47.8%), and Criminal History Repositories (41.6%). The most frequently shared data (both sending and receiving) pertains to individuals (identified as either Offender or Defendant data), including Person Name, Person Identifiers, and Person Descriptors or Demographics.

The survey asked respondents to describe how information is shared. To most respondents, information sharing—whether sending or receiving data—means some kind of query access to another agency's computer system. Direct queries or portal-based queries account for almost half of data sharing (Sending – 47.0%, Receiving 44.7%). Automated data exchange where data is sent to or received electronically from another criminal justice partner system is not as common. Only about one-quarter of all respondents (Sending – 26.9%, Receiving – 26.6%), indicate that they share data using automated methods.

Method that data are provided to partner	Percent
Direct Query	31.7%
Automated	26.9%
Portal Query	15.3%
Don't know	10.6%
Other	6.8%
Email	4.9%
Off-line	3.8%

Where automated information sharing occurs, most respondents indicate that they use older technologies like file transfer protocol (FTP) rather than newer technologies like web services.

Use of Standards and Architecture

Respondents were asked to identify what architecture and standards were used in information exchanges. The most commons responses to these questions was "Don't know." When asked about the architecture used to share information, 33.7% of respondents answered "Don't know" when sending data, and 42.5% of respondents answered "Don't know" when receiving data. When asked about the use of national standards, such as the National Information Exchange Model (NIEM) and the Global Reference Architecture (GRA), 66.4% of respondents answered "Don't know" or "Unknown" when sending data, and 72.4% answered "Don't know" or "Unknown" when receiving data.

When asked what exchanges were needed, the most requested exchange was for court case history information. When asked to rank "Success Factors," not surprisingly, most respondents ranked adequate funding as most important.

Respondents were asked to identify which national resources they had used. The top three were the Bureau of Justice Assistance, SEARCH, and the IJIS Institute. Finally, respondents were asked if they used a common charge table or a common data dictionary. Only a limited number of respondents answered these last questions. Out of the total responses received:

23.8% of respondents indicated that they used a common charge table; 11.3% said they did not.

20.2% of respondents indicated that they used a common data dictionary, and 12.5% said they did not.

Maine Implements N-DEx and eReferral Data Exchanges

shared GRA infrastructure components. SEARCH worked with MSP to define the service specifications for the exchanges, including the use of the N-DEx IEPD, and implement the extraction capability (GRA connector component) from MSP's Motorola Records Management System (RMS). SEARCH also developed the GRA broker component, which is responsible for routing and transforming data, and the GRA adapter components that enable the agencies to submit data to either the FBI or MEDATS.

The Cumberland County District Attorney and MEDATS project was supported by Grant No. CB-01-09 and by Grant No. KC-02-10 awarded by the Maine Department of Public Safety to develop their components of the system, which includes data extraction capabilities from the Cumberland County Sheriff's Spillman RMS and the SunGard/HTE RMS shared by the Portland and South Portland Police Departments. The MEDATS data extraction capabilities then feed incident data into the GRA data sharing

system developed by MSP. At the other end of the process, MEDATS receives incident data routed through the broker to its GRA adapter, and directs it to the Cumberland County District Attorney, where staff review the incident data and approve it for case creation in the Just-Ware Case Management System (CMS).

The logical design of the overall system is illustrated in the graphic below. There are two other noteworthy aspects to the overall architecture. First, the N-DEx reporting capability uses the Internet to call the N-DEx incident reporting service hosted by the FBI. This allows Maine law enforcement agencies to submit data to the FBI using the N-DEx IEPD and web services rather than the FBI CJIS network. Second, as a testimony to true partner collaboration, the broker is hosted by the Maine Administrative Office of the Courts, which supports the GRA infrastructure even though it is not a direct beneficiary of these exchanges.

The business benefits to both law enforcement and the district attorney are significant. Law enforcement agencies can now view incident records from other agencies that submit data to N-DEx.

MSP originally envisioned developing a state portal to share this information but quickly realized that the FBI already provides a portal through N-DEx. Leveraging the N-DEx system allowed MSP to quickly deploy a tool that allows other law enforcement agencies to view and analyze data. MSP has not abandoned the idea of a portal entirely, but as Glenda Winn, MSP Systems Analyst and project lead noted, "using the existing N-DEx system to access data lets us take a quick step forward to sharing data without having to redevelop the same capability. As use grows, we may still find value of providing state law enforcement with our own portal that combines other state data sources."

The Cumberland County DA's Office immediately saw the benefits of the eReferral process. Stephanie Anderson, Cumberland District Attorney, praised the new system saying "the amount of time required to enter initial case information has been cut dramatically. We estimate that we are spending less than ½ minute on average to create a case using the electronic record where we used to spend a minimum of 5 minutes rekeying much of this data." Perhaps more importantly, she observed "by receiving data electronically, we significantly reduce the chance of making data entry errors. At a time when accurate data is more important than ever, this will help the criminal justice system as a whole as information moves from law enforcement to the prosecutor and to the courts."

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The Maine project will be highlighted at the 2012 NAJIS conference.

Maine Incident Reporting System
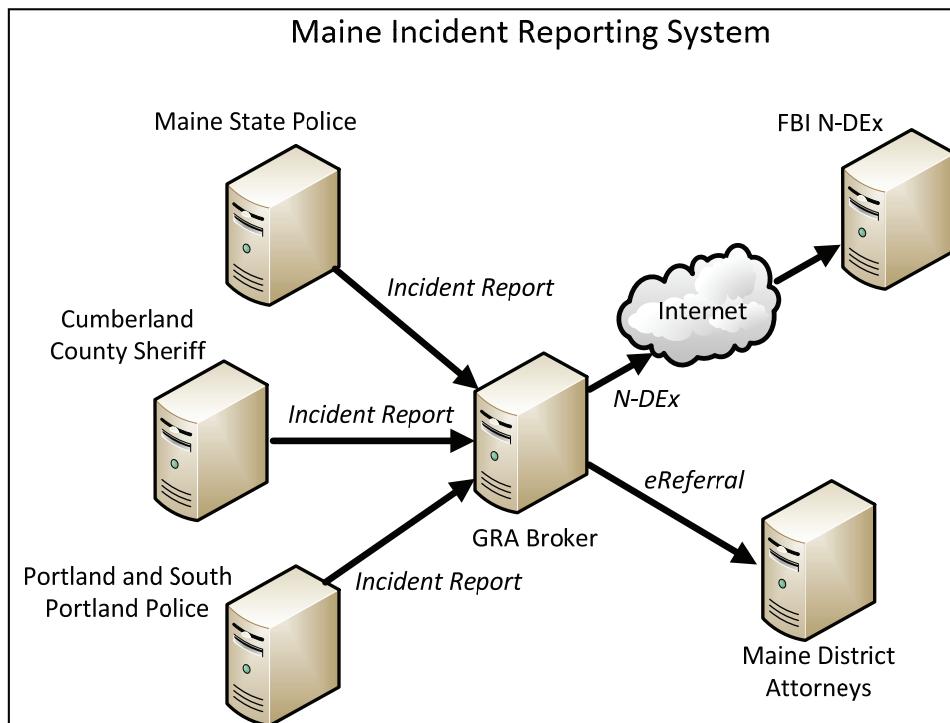
2012 NAJIS Conference Agenda

Tuesday – October 9, 2012	
4:00-7:00	***Pre-registration and Welcome Reception***
Wednesday – October 10, 2012	
7:30-8:30	***Continental Breakfast and Registration***
8:30 – 8:45	**Welcome and Opening Remarks—A greeting from United States Senator Olympia J. Snowe**
8:45-9:45	**Keynote: Social Media's Impact on Criminal Investigations**
9:45-10:00	*Break*
10:00-12:00	**NAJIS Roundtable: Conference Attendees Share Their Justice IT Projects and Problems**
12:00-1:30	***Luncheon (Provided) - Justice Systems Applications Presentations***

	Breakout A	**Breakout B**
1:30 – 2:30	**Session 2 – What's that App?**	**Session 3 - GRA Exchange Implementation in Maine—Sending RMS data to Prosecutors and N-DEx**
2:30—2:45	*Break*	
2:45 - 3:45	**Session 4 — Implementing Statewide Master Charge Codes or Offense Tables**	**Session 5 — SAVIN IEPD—Montana Pilot**
3:45 - 4:45	**Session 6 – eEverything—The Good, The Bad and the Ugly**	
5:15	**Networking Outing**	

Thursday, October 11, 2012	
7:30 – 8:30	***Continental Breakfast***
8:30 - 8:45	**Announcements and Evaluation Prize Drawing**
8:45-9:45	**Plenary Session 7 – Disaster Recovery and Continuity Planning—Vermont DPS After Hurricane Irene**
9:45-10:00	*Break*

	Breakout A	**Breakout B**
10:00-11:00	**Session 8 – Re-Entry of Offenders—The Hampden County Treatment Provider Portal**	**Session 9 — eFiling Solutions that Work—Criminal and Civil**
11:00 – 12:00	**Session 10 - So You Thought It Couldn't be Done**	**Session 11 – Closing the Gaps on Dispositions—A Maryland Success Story**
12:00 - 1:30	***Luncheon (provided), Sponsor Door Prizes***	
1:30 - 2:45	**Session 12 – Indiana I-Dex and the ROI Journey**	**Session 13 – Interstate Information Sharing Efforts —Delaware and Maryland**
2:45 - 3:00	*Break*	
3:00 – 4:00	**Session 14 – Innovative Information Sharing over Nlets**	**Session 15 — Strategic Cutback Management— Leadership in Lean Times**
4:00-5:00	**Plenary Session 16 – Electronic Warrant Management—Best Practices**	

2012 NAJIS Conference Agenda (continued)

Friday, October 12, 2012	
8:00 – 8:30	*Continental Breakfast and Evaluation Prize Drawing*
8:30 - 9:30	**Plenary Session 17 - Leveraging Social Media in the Justice Community**
9:30 - 10:30	**Plenary Session 18 – Low-tech and No-tech Productivity Solutions**
10:30 - 11:00	**Conference De-briefing and Passport Drawing**
11:00	**Adjourn**

2012 NAJIS CONFERENCE INFORMATION

The NAJIS conference focuses on top concerns of justice system practitioners. This is the one conference put on by practitioners for practitioners. Conferences are designed to provide forums to exchange ideas, address problems and explore solutions. Ample opportunities are provided to network with speakers and other conference participants.

The conference includes a vendor exhibition giving participants the opportunity to look at the latest in technology.

The conference fee includes a hospitality suite, three continental breakfasts and two luncheons. Participants will enjoy a guided bus tour to Topsham, Maine for a lobster bake at SeaDogs Brewing Company. The brewery has a full line of award-winning handcrafted ales that capture the spirit of Maine's sea-faring history. The site occupies a scenic spot on the Androscoggin River.

For registration information, go to www.najis.org or call

202-448-1720.

Conference Dates: October 9—12, 2012

Conference Registration fee: $495

$395 early registration has been extended to September 15!

VENUE AND HOTEL REGISTRATION INFORMATION

This year's conference will be held at the Holiday Inn By The Bay in beautiful Portland, Maine. The hotel is within easy walking distance of the historic downtown.

The conference hotel rate is $149 per night. You can make reservations by calling the hotel directly at

1-207-775-2311

and requesting the NAJIS conference rate. The conference hotel room rate is available until September 8, 2012.
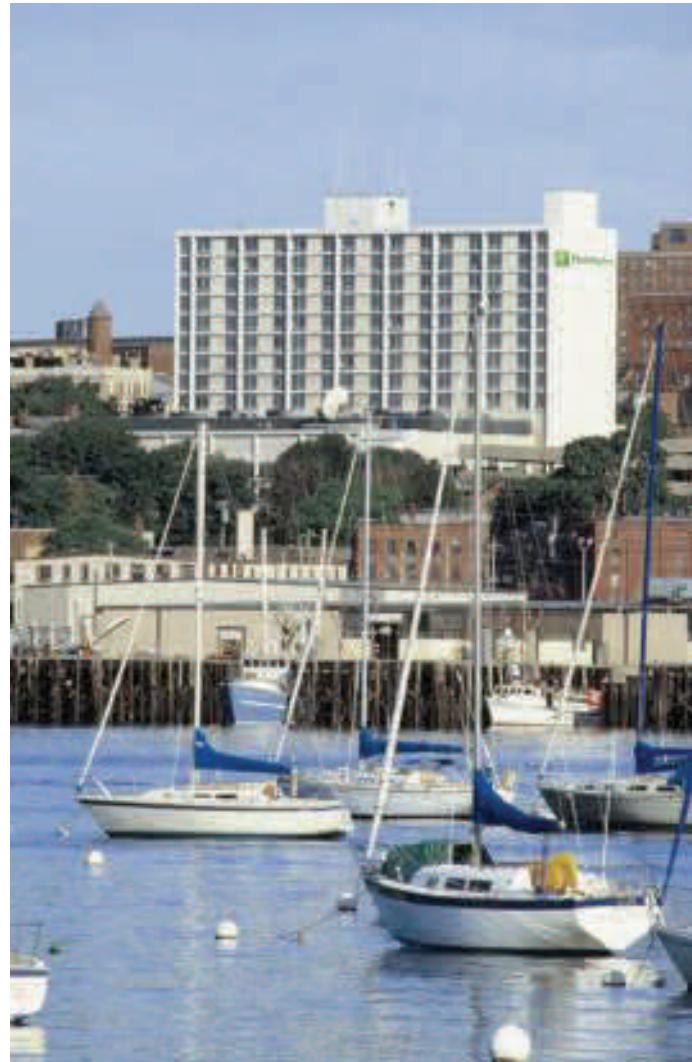
Holiday Inn By The Bay, Portland, Maine. Used with permission.

VENDOR INFORMATION

Vendors interested in exhibiting at the NAJIS conference can contact David Naisby at 717-214-7461 or dnaisby@state.pa.us

Come to this year's conference and find out why one participant said:
"I go to a lot of conferences and by far NAJIS is the most informational and FUN."

National Justice Information Survey

Findings and Observations

There are two notable findings from the survey results. First, automated information sharing appears to be a relatively uncommon capability, while query access to data on remote systems is most common. Second, national standards and initiatives do not appear to be broadly adopted.

Several factors temper these findings. First, the survey is a non-scientific sample, and these findings may not accurately reflect adoption and usage across the criminal justice system as a whole. Second, the large number of non-responses to the more technical questions, such as the adoption and use of standards, may indicate that the survey was not completed by an individual knowledgeable about these topics.

While the survey results are non-scientific, they do provide picture or "snapshot" of data sharing capabilities by criminal justice community in early 2011. This creates a baseline against which future surveys can be compared to identify trends and patterns of usage. One of the goals of the many groups focused on improving information sharing is to assess the levels of adoption usage, and this survey can be used to accomplish this. Future surveys should be considered to measure progress in this area.

Mark Perbix is Director of Information Sharing Programs at SEARCH and can be reached at mark.perbix@search.org.

The survey was developed by NAJIS with the support of the IJIS Institute and SEARCH. IJIS provided resources to develop and publish the survey instrument. The QuestionPro online survey tool was used for the survey. SEARCH provided resources to analyze and publish the results. Both of these organizations utilized funding received through the Bureau of Justice Assistance as part of the Justice Information Sharing Program.

What Is NAJIS?

The National Association for Justice Information Systems (NAJIS) is an organization of individuals responsible for the acquisition, operation and management of local, state, tribal and federal criminal justice information systems.

All practitioners in prosecutor's offices, the courts, law enforcement, probation, corrections and allied agencies who design, improve, implement or supervise automated information systems can benefit from participating in NAJIS. Individuals who are investigating, evaluating and purchasing automated systems—both hardware and software—for criminal justice purposes are encouraged to join and participate in NAJIS activities.

NAJIS began in 1981 as the PROMIS (Prosecutors Management Information System) User Group and has grown to encompass the technology interests of all criminal justice disciplines. The promotion of integrated criminal justice and new technologies is the focus of NAJIS.

NAJIS conducts an annual educational conference, publishes a newsletter and website with the goal of improving the criminal justice system through the practical application of technology.

President's Message

and this year's conference includes several sessions on innovative technologies as well. This newsletter includes a summary conference program. I encourage you to see what topics are of interest to you.

We also have a bigger vendor exhibit area than ever if you want to learn more about specific products and technologies.

Lastly, we will have the privilege of being addressed by Senator Olympia Snowe!

I hope you can join us in Portland for this year's conference.

Gordon Lansford

NAJIS President