

National Use-of-Force Data Collection Data Submission IEP 2.1 Master Document



September 28, 2018

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**National Use-of-Force Data Collection Data Submission IEP
Version 2.1**

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1 Introduction

The purpose of this document is to provide documentation for the National Use-of-Force (UOF) Data Collection Data Submission Information Exchange Package. The National Use-of-Force Data Collection is a component of the Uniform Crime Reporting (UCR) Program that is used by law enforcement agencies to report a law enforcement Use-of-Force that results in a fatality, serious bodily injury to a person, or the discharge of a firearm at or in the direction of a person.

The definition of serious bodily injury is based in part on 18 USC 2246 (4) and means ***“bodily injury that involves a substantial risk of death, unconsciousness, protracted and obvious disfigurement, or protracted loss or impairment of the function of a bodily member, organ, or mental faculty.”***

The structure of this document is intended to be compliant with National Information Exchange Model (NIEM) Program Management Office, and includes contents based on recommendations detailed in version 2.1 of “Requirements for a National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) Specification”.

2 Purpose and Scope

The purpose of the National Use-of-Force Data Collection IEPD is to provide law enforcement agencies documentation that lists exchange specifications to be used for the exchange of complete, accurate, and timely Use-of-Force information.

This release of the UOF IEPD is based on the NIEM IEPD Template Requirements document and contains written documentation, schemas, instance documents, a mapping spreadsheet, and additional documentation.

3 List of Artifacts

| Artifact Name | Purpose |
|--|--|
| ChangeLog.txt | High level description of changes between previous version and new version of the IEPD |
| UOF_ConformanceAssertion.docx | Documents conformance to NIEM 3.2 where possible. |
| UOF_Readme.docx | Quick reference to the contents of the IEPD |
| documentation/UOF_CodeTables.xlsx | Provides a tabulated listings of all code table values used in the IEPD |
| documentation/UOF_MasterDocumentation.docx | This document. |
| documentation/UOF_NIEM_Mapping.xlsx | Provides a tabulated listings of all elements and code values used in the IEPD |
| documentation/UOF_UML.pdf | Provides High level model diagram |

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| | |
|--|---|
| iep-samples/UOF_DeleteReport_Sample.xml | Sample xml file demonstrating a delete request record |
| iep-samples/UOF_InsertReport_Sample.xml | Sample xml file demonstrating a complete record. |
| iep-samples/UOF_InsertReport_Sample2.xml | Sample xml file demonstrating a complete record. |
| iep-samples/UOF_ZeroReport_Sample.xml | Sample xml file demonstrating no Use-of-Force incidents were reported for the month |
| base-xsd/uof/2.1/uof-codes.xsd | Schema file containing UOF namespace code type values |
| base-xsd/uof/2.1/UseOfForce.xsd | Schema file for the UOF IEPD |
| base-xsd/niem/wantlist.xml | XML file containing NIEM elements and codes used in the IEPD |
| base-xsd/niem/xml-catalog.xml | XML file listing the NIEM namespace used in the IEPD |
| base-xsd/niem/... | Contains the NIEM element and codes used in this IEPD. |
| base-xsd/cjis/2.0/cjis.xsd | Schema file containing the message metadata used in the IEPD. |

4 UOF and NIEM Interaction

This section provides a high level overview of how UOF and NIEM interact in order to represent UOF submissions, and what objects are available for representation of data.

4.1 NIEM Constrained Subset Schemas

UOF uses the latest version of NIEM as a baseline to build the UOF schema. The UOF schema uses j:Offense, nc:Incident, nc:Location, nc:Organization, nc:Person, roles of Person (j:Enforcement Official and j:Subject).

4.2 Extension XML Schemas

The UOF schemas extends the NIEM schema to include elements and codes that are domain specific to UOF.

5 Additional IEPD Provisions

This section provides additional definitions, business rules, and other information required to implement the IEPD over and above that specified in the XML Schemas.

5.1 Additional Property Definitions

The UOF IEPD includes properties, i.e., elements and attributes, which are not in NIEM. All data elements including these additional properties are shown in the *documents/UOF_UML.pdf*

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and *documentation/UOF_NIEM_Mapping.xlsx* file. UOF additions use the Target Element namespace alias “uof”.

UOF require additional code tables that are not in NIEM. These code tables are referenced in the *documentation/UOF_NIEM_Mapping.xlsx* and *documentation/UOF_CodeTables.xlsx* file. UOF additions use the Target Element namespace alias “uofcodes”.

5.2 Cardinality

UOF restricts the cardinality of some elements in the schemas in order to better align with the business requirements documented in the Flat File and Bulk Load Technical Specification. The schema restrictions are documented in the *UOF_NIEM_Mapping.xlsx*.

5.3 Additional Schema Business Rules

Program business rules are documented in the Flat File and Bulk Load Technical Specification. Contact the National Use-of-Force Program Office via e-mail at useofforce@ic.fbi.gov to obtain a copy or go to <https://ucr.fbi.gov/use-of-force-data>.

5.4 Data Add, Updates, and Deletes

Incident data for Incident Reports with an “Add” action type will be added to the database and be updated with submitted data in the UoF database if the incident already exists. The system uses three data elements within the Incident for comparison against the database to determine if a record already exists. The data elements are agency ORI, incident date and agency case number. Incidents with a “Remove” action type will be deleted from the system. The remove message requires the three data elements within the Incident for comparison against the database to determine if a record already exists. The data elements are agency ORI, incident date and agency case number. If the record exists, it is functionally deleted from the system. This means that the incident data is marked as deleted but not actually removed from the database. It creates an audit trail of changes made.

For the sake of message integrity, add/update and delete submissions must adhere to the rules of the schema and requirements documented in the Flat File and Bulk Load Technical Specification.

5.4.1 Adding an Incident Report

When a new UOF submission is received, the Use-of-Force Report Action Code is set to “AddOnly” for Insert, Report Category Code is set to “Incident” and includes the Report Owner ORI, Incident Activity Date, and Incident Case Number along with the other required elements. Refer to the *UOF_NIEM_Mapping.xlsx* for the detailed listing of the elements.

5.4.2 Updating an Incident Report

When an UOF submission specifies the Use-of-Force Report Action Code is “Add” and includes a Report Owner ORI, Incident Activity Date, and Incident Case Number that are the same as provided in a previous submission, the report from the original submission will be replaced with the report information in the current submission.

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UOF submitters that wish to perform an update, for example to correct a Pending Further Investigation value or add an Offense, must supply a complete corrected record, including all unchanged information as well as new or updated information, using the same Report Owner ORI, Incident Activity Date, and Incident Case Number as provided previously.

5.4.3 Deleting an Incident Data Item

When a UOF submission specifies the Use-of-Force Report Action Code is “Remove” for deletion and includes the Report Owner ORI, Incident Activity Date, and Incident Case Number that are the same as provided in a previous submission, the data from the original submission will be removed from the record in the UOF database.

5.4.4 Submitting a Zero Report

When an agency has no UoF submissions for a given month, the agency will submit what known as a Zero Report. The report will only include the Use-of-Force Report Action Code set to “Add” for Insert, Report Category Code is set to “ZeroReport”, the Year and Month for the submission, and the Report Owner ORI.

5.5 Substitution Elements

The UOF schemas incorporate a number of UOF elements that are defined as substitutions with multiple elements. As such, both the elements are available in schema. Where such substitutions exist, the mapping spreadsheet documents the business rule for choosing.

6 Feedback

Submit comments and suggestions by contacting the National Use-of-Force Program Office via e-mail at useofforce@ic.fbi.gov.

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Appendix A: File name and submission

The FBI CJIS Enterprise File Transfer Service is used to provide bulk loads of Use-of-Force incident reports to the FBI. The data can be created in either xml format defined in the National Use-of-Force (UOF) Data Collection Data Submission Information Exchange Package or in the flat file format json as defined in the National Use-of-Force Data Collection Flat File and Bulk Load Technical Specification. Either format must conform to the file naming convention defined below.

This appendix describes file name convention for xml types for submission to the Use-of-Force system. The file name convention guarantees uniqueness of the file upon submission to the FBI. The file name convention is made up of four elements and a file name extension.

Four elements required in naming:

ORI – Agency ORI submitting the data in the nine character FBI UCR ORI format

Date – Date the file is created in Year, Month, Day format of YYYYMMDD

Time – Time the file is created in twenty-four hour clock format for hours and minutes, HHMM

Unique number – Unique sequence number #.

Example:

ORI456789_YYYYMMDD_HHMM_####.xml

ORI456789_YYYYMMDD_HHMM_####.zip

Maximum length of the file name:

The maximum filename is limited to 124 characters including the file extension (.xml or .zip).

Valid file name extensions:

.zip – used when submitting compressed file or files

.xml – used when submitting an uncompressed xml file

An xml file type may only contain a singular use of force report per submission. A zip file may contain one to many .xml files per submission. The ZIP file must not contain any directory structure.

Zip File Limitations:

Due to limitations of the unzip software used on the UoF system, all zip files must use the standard compression method. Many third party products in Windows environments (such as Winzip) do not use the standard compression method. Therefore, if zip files are created in a Windows environment, they need to be prepared using the native windows compression.

File Name Examples:

WV0123400_20161230_0953_0001.xml

WV0123400_20161230_0953_0002.xml

WV0123400_20161230_0953_0003.xml

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WV0123400_20170130_0954_0001.zip