National Use-of-Force Data Collection
Data Submission IEP 1.0
Master Document

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Version 1.0

Contents

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."*
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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

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/Subset_05-22-2017_1123.zip	NIEM schema subset files.
base-xsd/uof/1.0/uof-codes.xsd	Schema file containing UOF namespace code type values
base-xsd/uof/1.0/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/1.0/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* 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 "I" 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 "D" 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 "I" 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 "I" 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.

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 "D" for Delete 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 "I" 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 <u>Feedback</u>

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