



EXECUTIVE STEERING COUNCIL

NOVEMBER 10, 2015

AGENDA

1. Decision Request: NIEM & OMB A-119
2. Future of NIEM
3. Fiscal Year 2016 Program Plan
4. Open Discussion

NIEM & OPEN STANDARDS

*Alignment to the Office of Management and Budget
(OMB) Circular No. A-119*

OMB CIRCULAR NO. A-119 & NIEM

What is OMB A-119?

The Circular directs agencies to use **voluntary consensus standards** in lieu of **government-unique standards** except where consistent with law or otherwise impractical.

It is sometimes claimed that U.S. government agencies **must always prefer** “open standards” to the use of the NIEM approach. Also, NIEM is often considered a government-unique standard.

NIEM satisfies the relevant definition of the open standard mandate. Federal agencies should therefore regard NIEM as one of the standards to be preferred, not one to be avoided, or considered after others.

NIEM ALIGNMENT



Is NIEM a standard?

YES

Is NIEM a voluntary consensus standard?

YES

Is NIEM a government-unique standard?

NO

Is NIEM suitably independent of the Federal government?

YES

ESC DECISION REQUEST: NIEM & OMB A-119 CONCURRENCE



REQUEST: Concurrence on the NIEM program position documented in the NIEM & Open Standards: Alignment to OMB Circular No. A-119.

- Although NIEM activities are largely **managed** and **funded** by the **federal government**, the actual NIEM standard **remains suitably independent**.
- NIEM provides a **data model** and set of **technical specifications** that together satisfy the definition of a “**standard**”.
- That NIEM standard **satisfies** the definition of a **voluntary consensus standard**, one created through a process that has openness, balance of interest, due process, an appeals process, and consensus.

FUTURE OF NIEM

Guiding Principles, Growth & Open Discussion

GUIDING PRINCIPLES

The foundation of the NIEM program is built upon the following five principles, which must be addressed to evaluate NIEM's future.

Connector



- Continue to focus core activities as the **“connector”** while providing mechanisms for Government endorsement
- Develop processes and best practice for **integration** of NIEM and other global standards

Business



- Design governance processes to **incorporate new community members**
- Consistently message NIEM's **unique value proposition** and strive to maintain this leading market position
- Maintain a **user focus** in program activities, industry/vendor relationships and strategies
- Leverage upon **digital services** best practices; simplicity and intuitive design and **agile** model and exchange development

Global Community



- Determine the importance of a **global footprint for program growth**
- Develop guidance to differentiate between **Program influence and involvement**
- Draw **clear expectations** of responsibilities for international parties

Management



- Leverage the transition to provide the **opportunities to refine** all components of NIEM Governance
- Begin **building collaborative partnerships** with SDOs, Vendors, and International parties
- Determine what business capabilities and functions should **reside in Government** and what can be **assumed by Industry**

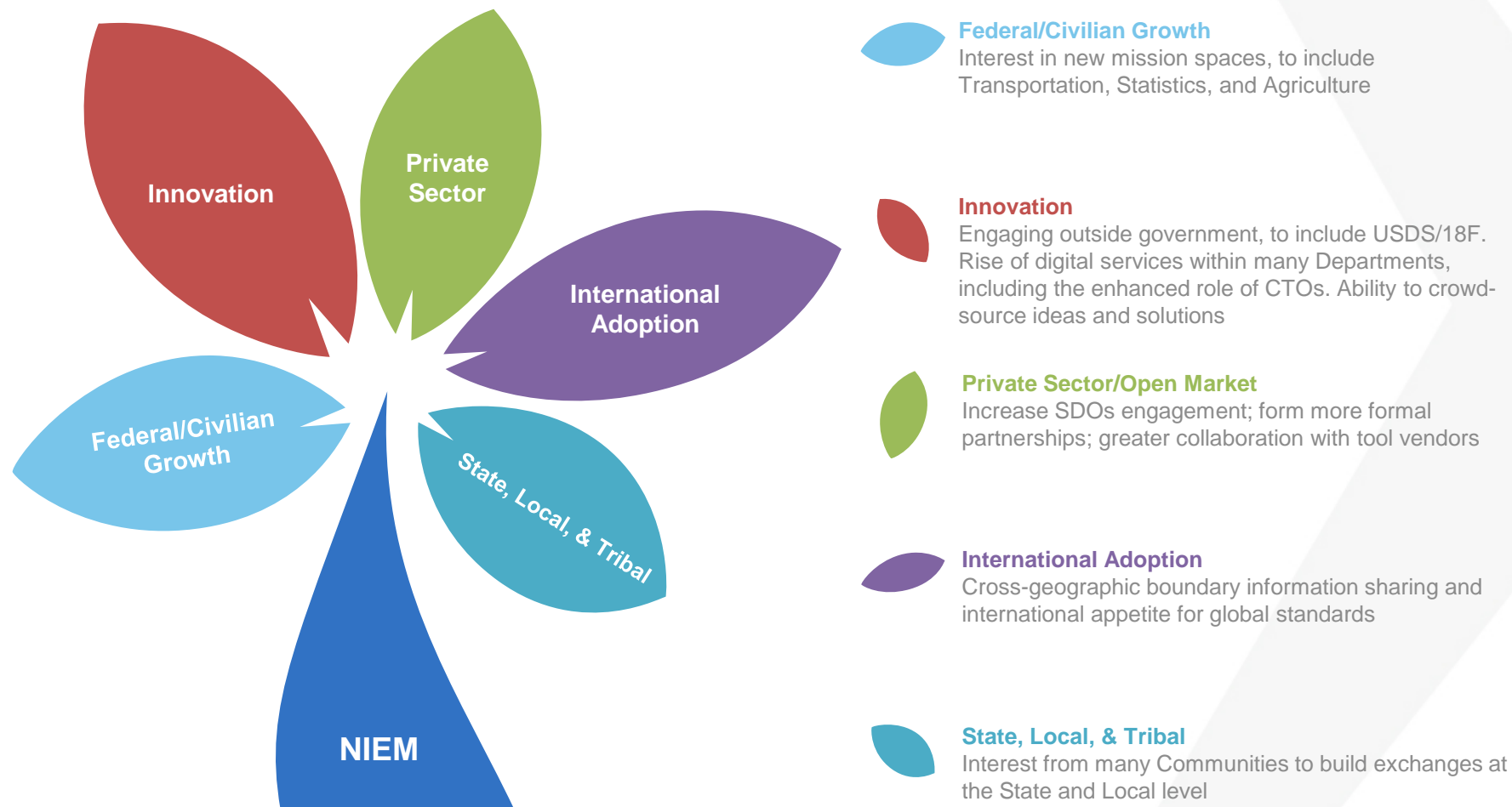
Technology



- **Explore emerging technologies** as NIEM faces the reality that XML will not always be the premier machine-readable exchange technology
- Provide more **flexibility** to the Community as NIEM looks to react to **emerging technologies** and potentially **decouple the model from XML**
- **Unlock advanced research potential and innovation** through an acute focus on initiatives

OPPORTUNITIES FOR GROWTH

NIEM has hit an inflection point in its growth and needs to take advantage of new opportunities to increase adoption. NIEM priorities for expansion include:



IDEAL STATE DESCRIPTION

Partnering with the private sector will help NIEM shift the conversation from NIEM conformance to standards conformance and will provide a layered approach to information exchange (i.e. data, access control, identity, etc.).

Collaboration

Advance NIEM's mission through collaboration with private sector leadership, strengthening governance and management

Agility

Responsiveness and adaptability to new and emerging technology trends

Resources

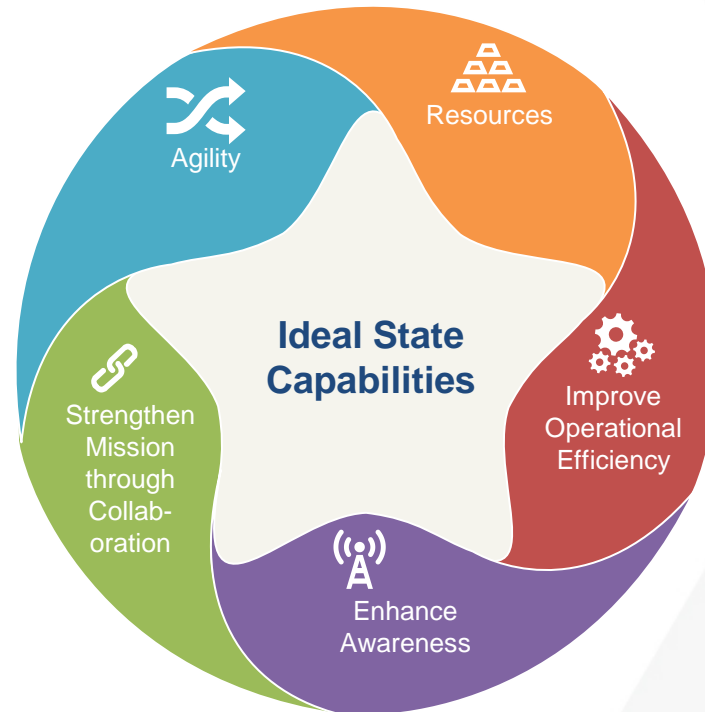
Gradually increase levels of private sector participation and resources; crowd source; quickly scale up or down as needed; reduce risk

Operations

Where work can be done most efficiently between public and private; government should not be in the business of developing standards (A-119)

Awareness

Utilize private sector communication channels to enhance awareness throughout the business community of the unique contributions that private enterprise can make to NIEM



FISCAL YEAR (FY) 2016

Baseline Program Plan Summary & Detailed Strategic Priorities

FISCAL YEAR (FY) 2016 PROGRAM PLAN BASELINE

Key strategic priorities in FY2016 and representative deliverables the Program will execute:





PROGRAM SUSTAINMENT

Description

As NIEM sustains growth, the Program will continue to support recurring operations while also improving foundational program documentation. In addition, to gauge program efficiency and deferred past fiscal year tasks, the program will conduct its first assessment of operations for Executive Steering Council (ESC) review.

Focus Areas

Maintain recurring operations

The Program will continue to support **recurring activities** including (1) ESC/NBAC/NTAC agenda and meeting minute creation and meeting facilitation, (2) the NIEM Contact Center, and (3) ensuring NIEM.gov content is relevant and up to date

Improve foundational documentation

The Program will work across the committees to document NIEM & Office of Management and Budget (OMB) **Circular No. A-119 alignment**, catalog and de-conflict program **intellectual property**, and develop a template for **NIEM co-branding with external vendors**

Assess program operations

The Program will conduct its first **Program-wide assessment** to articulate the program's current state in support of NIEM budget discussions with the ESC

COMMUNITY ENGAGEMENT



Description

As a community-driven program, NIEM will focus on aligning its products and services to meet the community's needs. In addition, the Program will leverage the community to amplify outreach and increase adoption.

Focus Areas

Focus on the customer

To achieve this priority, the Program will continue implementation of **customer relationship management** processes and streamline usage of **Salesforce**; the Program will also engage revisit the **NIEM Engagement Process** for enhancements or a refresh

Outreach & amplify success stories

The Program will document and disseminate **success stories** of NIEM implementations across various mission spaces; the Program will also provide materials to better equip each distinct community of interest to perform outreach

Execution of governance

The Program will **catalog all program assets** compiled since 2007 to vet usefulness (i.e. whether the content is relevant in 2015 – 2016) across the Joint-PMO; the NBAC will continue execution of the **Annual Review** for measuring domain maturity and articulating NBAC successes in Fiscal Year 2016

CONTENT & TECHNOLOGY EVOLUTION



Description

The NIEM Program will ensure that the model's content, architecture and supporting tools will continue to evolve in FY2016 in alignment with the community's business requirements.

Focus Areas

Lower barriers to adoption

In order to reduce the complexity of using NIEM, the Program will enable tool development, alternative representations, and clear guidance to accelerate adoption

Execute model management

The Program will support the release of **NIEM Version 3.2** in alignment to the NIEM High-Level Version Architecture's Release Calendar; the Program will support the NTAC and Lead Developers in gathering model enhancement requirements for **NIEM Version 4.0**

Evaluate technical needs

The Program will engage community members and external partners to document requirements for **JSON** (both short-term and long-term); the Program will also evaluate the need for NIEM certification and evaluate use of **GitHub** as a federated IEPD Clearinghouse repository

OPEN DISCUSSION

SUPPLEMENTAL SLIDES

2014 NIEM Future & Business Model Initiative

RECAP: 'NIEM FUTURE' WORKSHOP RECAP

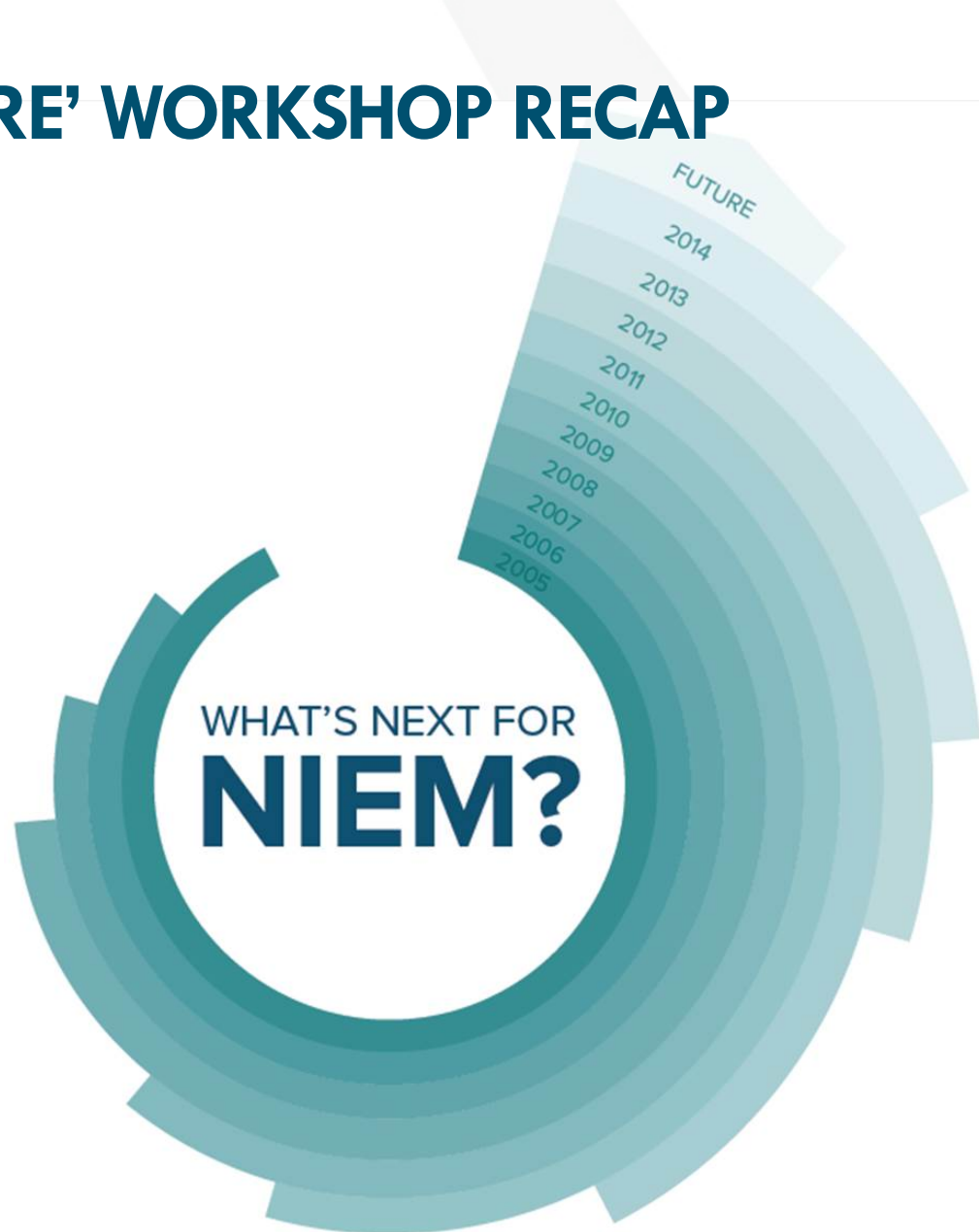
WHO: NIEM Executive Steering Council & Standards Coordinating Council

WHAT: Compelling discussion about the future of NIEM

WHY: We need to hear your ideas to position NIEM for continued success

WHEN: Friday, October 10, 2014

WHERE: Arlington, VA



RECAP: OCTOBER 10, 2014 WORKSHOP

Scaling Opportunities Identified



RECAP: KEY THEMES FROM NIEM COMMITTEES NOVEMBER 2014 FACE-TO-FACE MEETING

FREE

OPEN

Training

Collaborative

**State & Local
Focused**

**Growing
Stakeholder
Base**

**Don't Have to Pay
to Play**

**Incentives for
Adoption &
Implementation
(Grants, Acquisition
Language)**

RECAP: BALANCING NEEDS



Risks

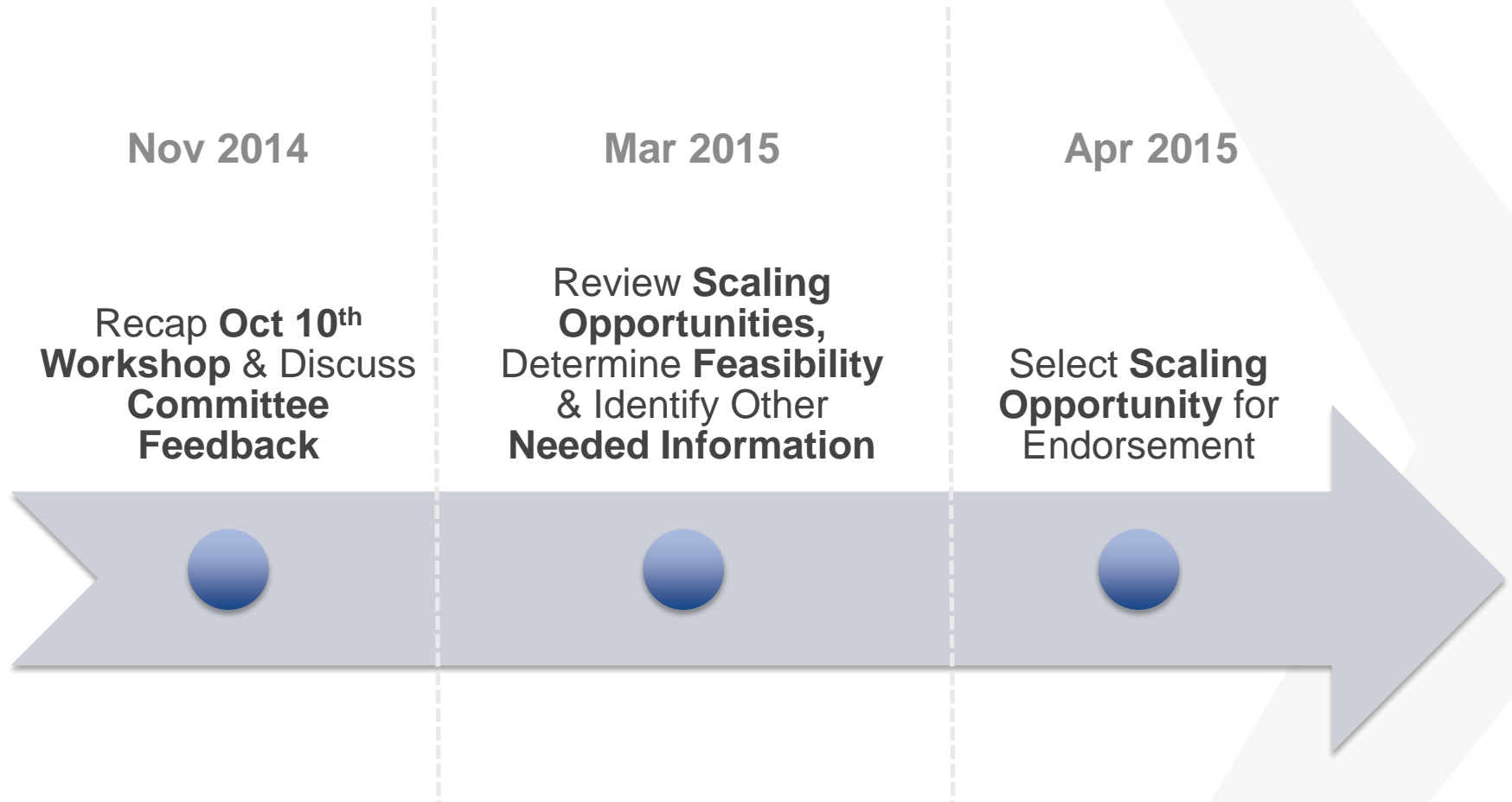
- ***Waning domain and community support*** and participation in NIEM due to volatility and concerns with proposed scaling opportunities.
- ***Unclear NIEM value proposition and return on investment*** constrains adoption by executives and program managers.

Mitigations

- ***Transparency*** and ***continuous engagement*** to provide assurance that the scaling opportunity will allow the domains to maintain participation and ownership in NIEM and give the community assurance of continued growth.
- FY2015 focus on ***refining*** the NIEM value proposition.

How do we get to a decision that reflects Key Themes & the preferred Workshop Opportunities?

RECAP: WHAT'S NEXT?



“Must get the right answer, not the quickest answer.”

RECAP: DISCUSSION THEMES FROM NOVEMBER 21, 2014 NIEM ESC MEETING

- Support for Status Quo option and options for an enhanced status quo.
- Agreement that we don't want to lose community and the value that NIEM provides.
- NIEM's future appears to be more of a funding issue.
- Is there a way to engage the Chief Information Officer (CIO) & Chief Financial Officer (CFO) Councils around funding sustainment?
- Where are our allies?
- Is it time to consider moving the program from the Department of Homeland Security? Which agency is, or which agencies are, preferable for shepherding the program into the future?
- Recommend sustainable funding and movement of the program to spur growth and to create strategic value.

SUCCESSIONS: PROGRAM GROWTH

The NIEM Program has achieved several 'wins' over the past year, which have facilitated strategic growth and program maturation

International Involvement



- **Australia:** Supporting CrimTrac with integration of organizational roles into NIEM Committees (ESC, NTAC, NBAC) to drive international governance participation
- **Japan:** Expressing interest in leveraging NIEM for the 2020 Tokyo Olympics
- **European Union:** Participating in an initiative to map across standards

Domain Expansion



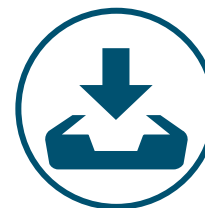
- **Human Services:** Driven from HHS-ACF, the Human Services Domain recently submitted initial model content into NIEM. 3.1 and is exploring NIEM-UML to help spur adoption with business users
- **Surface Transportation:** Recently voted by the NBAC for domain consideration (pending ESC approval) and preparing model content for a NIEM 3.2 submission

Industry Engagement



- **SDO Partnerships:** Advised in the Geo4NIEM effort, a project led by the Open Geospatial Consortium, which integrated GML with NIEM in a proof of concept. Also working the Object Management Group on shepherding NIEM UML-3 through the specification finalization process
- **Vendor Collaboration:** Working with to develop co-branding strategy and continuing conversations with tool vendors (No Magic, Sparx, IBM, Microsoft) to assess community tooling requirements

Impactful Implementation



- **Electronic Case Processing:** Facilitated the exchange of data and documents across state jurisdictions through the National Electronic Interstate Compact Enterprise (NEICE), which significantly shortened the time it takes to place children in stable, loving homes
- **International Exchange:** Enabled the connection of legacy systems and use of a common approach to data sharing within the Entry/Exit Program, helping to create NIEM-based transactions which flow daily between the United States and Canada

NIEM CX



- **CRM Platform Rollout:** Developed Salesforce application to proactively qualify and track growth opportunities, including event management and communications campaigns
- **GitHub Deployment:** Published first-ever DHS Git site, allowing NIEM Community an efficient and effective development environment, and providing Domains self-help model management capabilities
- **Contact Center:** Redesigned Contract Center business processes and streamlined triage system to drive increased Service Level Agreements

SUCCESES: TECHNOLOGY INNOVATION

NIEM has several 'R&D-like' efforts underway to advance the technology underpinning the program

Model Release



- Formalized a 3-to-1 Release Cycle, which yields a Minor Release (domain content updates) every year, with a Major Release (NIEM Core updates, domain content updates, architectural updates) every third year
- Recently completed the NIEM 3.1 Release, which included Domain Updates from six Domains and the first-ever release of Human Services model content
- **Impact:** NIEM's consistent and transparent release cycle allows the model to maintain progress and momentum at a steady, sustainable level, while proving predictability to the Community

Emerging Technologies



- Updating the NIEM-UML Profile – in accordance with the OMG standards development process – which will produce NIEM-conformant information exchanges and provides a visual representation of those exchanges
- Exploring the use of a JSON transformer to facilitate mobile and 'lightweight' information exchanges
- **Impact:** Investment in leading-edge technologies will allow the Program to stay ahead of technology shifts and continue supporting innovation with the user community

NIEM & Other Standards



- Collaborating with CS&C, I&A, and PM-ISE on the use of NIEM and STIX to develop a roadmap for Cyber-related content to be integrated with the NIEM model
- Engaging the DATA Act through the pursuit of finance-specific use cases where XBRL and NIEM can be used together
- **Impact:** Drive advocacy of standards collaboration and continue positioning NIEM as a 'connector of standards'

GitHub



- Creating an 'Implementation Cookbook', featuring a catalog of commonly used ways to implement NIEM – including Java, web services, and others
- Assisting Domains with self-sustainable model management in a collaborative environment
- Exploring use of GitHub to enhance visibility across the IEPD landscape and provide the Community selected metadata on IEPDs
- **Impact:** Facilitate community-driven development and create a scalable development platform