July 2012

NIEM ENGAGEMENT PROCESS

INTERVIEW FRAMEWORK

VERSION 1.0

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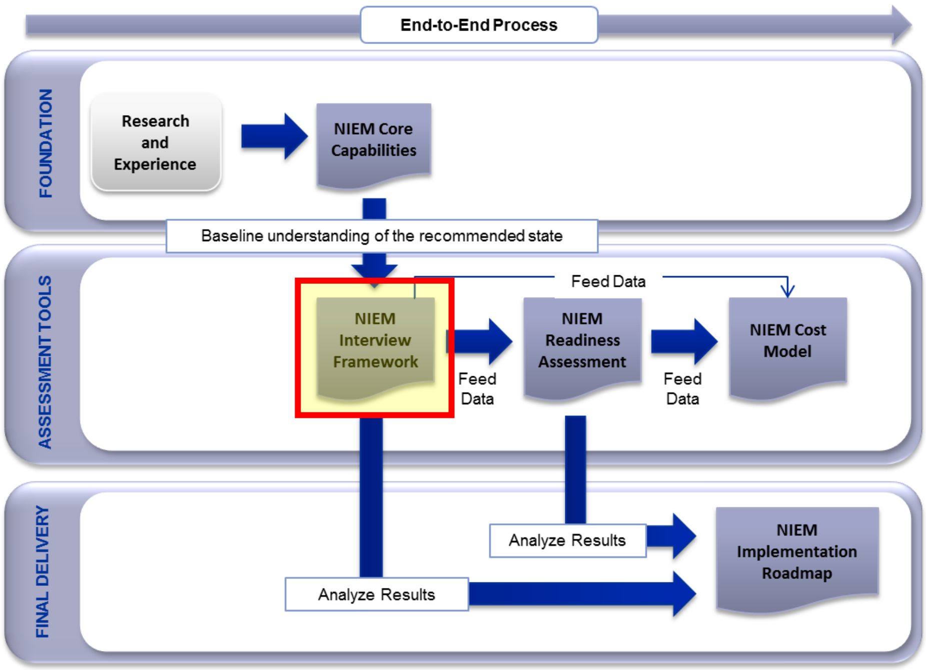
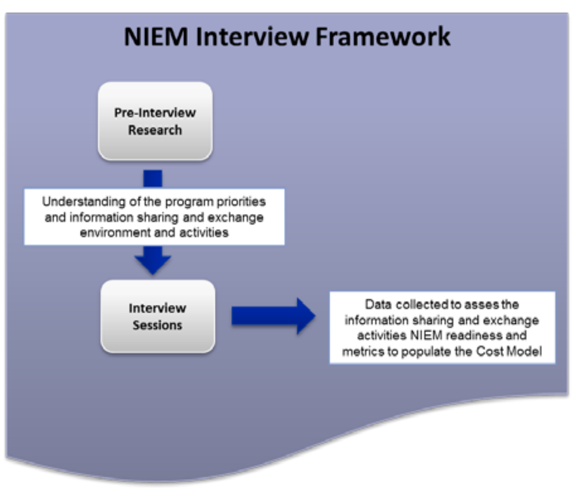
Document Overview

This document is used during the NIEM Engagement Process (NEP) to gather information that will populate the **NIEM Readiness Assessment** and **NIEMCost Model.**



Purpose

Information gathering within this document is comprised of two parts: pre-interview and interview as shown in the following graphic:



The pre-interview activities will give the interviewer an understanding of the organization or program being assessed. This is important to make the best use of potentially limited in person time to gather feedback. In cases where the interviewer has a good understanding of the organization, the time required to gather feedback for particular questions may be decreased as validation of assumptions is exercised previously. This understanding will also help facilitate the guided discussion when the interviewer can offer examples of points for discussion in particular questions. If the information gathered is not adequate to populate the **NIEM Readiness Assessment**, subsequent interview sessions may need to be scheduled.

Target Audience

This document is intended for interviewers and/or data collectors responsible for conducting research on organizations participating in the NEP.

Pre-Interview Research

Due to ongoing organization activities and daily work tasks, there is a high probability of limited time and access to interview the required points of contacts. The better prepared the interviewer is, the more effective the interview will be. Before interviews occur, the interviewer needs to be educated on the current state and goals of the organization. This will enable facilitated targeted discussions to identify the value that NIEM can offer as a framework for information sharing and exchange. Conduct the pre-interview objectives below and record your research in Appendix A.

Research Objectives

1. Leverage known groups/individuals at this organization to better understand the organization.
2. Review relevant documentation about the organization to become familiar with the organization or program's mission, especially with regard to information sharing.
3. Develop familiarity with examples of existing NIEM conformant exchanges to identify case studies or success stories that may be relevant to this specific agency.

Objective	**Question(s)**
1. Leverage known groups/individuals at this organization to better understand the organization	1. What other known groups or individuals are present at this organization? a. Group/Individual b. Team Purpose/Mission c. POCs d. What information sharing and exchange activities are taking place? e. What information sharing and exchange needs are currently unmet? f. Are there any other teams/projects we should talk to that may have similar information sharing and exchange needs?

Objective	**Question(s)**
2. Review the following documentation with the objective of becoming familiar with the organization and mission priorities, especially in regards to information sharing	1. What are the priorities and mission of the organization based on information learned from the following documents, and how can information sharing add value? a. Agency Information Exchange Functional Standards Evaluation: Adoption and Use of the National Information Exchange Model (NIEM) b. Federal IT Dashboard (e300) c. Mission Statements d. Strategic Plans e. Concept of Operations Documents f. Organization Charts g. OMB/GAO reports

Objective	Question
3. Develop familiarity with existing NIEM adoption to identify case studies or success stories that may be relevant to this specific organization/program	1. What are some relevant NIEM adoption case studies for this organization/program and its mission and priorities? Use the information researched in the previous objectives to identify relevant cases. Make note of the case studies and stories here for later use. Case studies are available at www.NIEM.gov and from the NIEM PMO office.

Interview Questions

The recommended interview is designed to be a 60 minute guided discussion, but can be modified to address specific needs. The questions in the tables below are used to gather feedback that are based on individual indicators comprising the core capabilities for information sharing and exchange. Based on the feedback, the interviewer will be able to rate an organization or program's NIEM readiness against specific core capability indicators in the next step of the NEP. The traceability matrix that shows how the interview questions directly relate to core capability indicators is available in Appendix C. More information regarding the indicators and NIEM readiness can be found in the **NIEM Core Capabilities** document and the **NIEM Readiness Assessment** document.

Since the interview is a guided discussion, it is framed around the following logically ordered learning objectives:

1. Discover/Confirm major organization or program mission and priorities that are/can be enabled by information sharing and exchange
2. Identify current information sharing and exchange partners and activities.
3. Discover potential information sharing and exchange activities.
4. Identify information sharing and exchange challenges

Conduct the interview using the tables below and record the feedback in Appendix B.

Objective	Question(s)
1. Discover/Confirm major organization/ program mission and priorities that are/can be enabled by information sharing and exchange	1. What are the top mission and priorities of your organization/program that can be or are currently being enabled by information sharing and exchange?
	2. a. What mission critical information supports those priorities? b. What are the essential programs/initiatives that support those priorities?
	3. Are there any other programs or systems that support essential programs?
	4. Are any of these programs or systems highly visible to the public?

Objective	Question(s)
2. Identify current information sharing and exchange partners and activities	1. Who are your external information sharing and exchange partners? a. Is data easy for partners to find? How is the data stored? How is access to data granted? b. How do partners work with your data? i. Is there an understood data model that you use for data sharing? How was the mapping established? ii. Is this an automated or manual process? c. What is the frequency of the information exchanges? i. How much information is exchanged? ii. Is this regularly scheduled or the result of ad hoc requests? d. What governance processes support this initiative? i. Are there MOUs or MOAs in place to define the structure, scope, and purpose for the initiative? ii. Is there a communications plan in place? Does it clarify communication channels and frequency? iii. What is the level of support, involvement, or buy-in from senior leadership? iv. Does this initiative have an established leader that offers direction, coordination, and facilitation among the stakeholders? How? v. How involved are stakeholders in providing feedback, input, and updates for this initiative? e. What are the short and long term plans to keep this initiative operational? i. Are risks actively identified and monitored according to a risk management plan? ii. Has staff been identified to support and maintain this initiative? iii. Has funding been allotted or allocated to support and maintain this initiative?
	2. What internal programs do you share and exchange information with? a. Is data easy for partners to find? How is the data stored? How is access to data granted? b. How do partners work with your data? i. Is there an understood data model that you use for data sharing? How was the mapping established? ii. Is this an automated or manual process? c. How frequent are the exchanges? i. How much information is exchanged? d. What governance processes support this initiative? i. Are there MOUs or MOAs in place to define the structure, scope, and purpose for the initiative? ii. Is there a communications plan in place? Does it clarify communication channels and frequency? iii. What is the level of support, involvement, or buy-in is there from senior leadership? iv. Does this initiative have an established leader that offers direction, coordination, and facilitation among the stakeholders? How involved are stakeholders in providing feedback, input, and updated for this initiative?

	e. What are the short and long term plans to keep this initiative operational? i. Are risks actively identified and monitored according to a risk management plan? ii. Has staff been identified to support and maintain this initiative? iii. Has funding been allotted or allocated to support and maintain this initiative?
	3. Does your organization/program provide any support for training in regards to information sharing and exchange initiatives?

Objective	Question(s)
3. Discover potential information sharing and exchange activities	1. Can you think of any other organizations/systems that you don't currently share or exchange any information with, but if you had access to their information could help you achieve your mission? a. Is this organization/system internal or external? b. What kind of information would you share/exchange? c. How large is the user base for this system? d. Have you tried establishing any kind of information sharing and exchange with them?
	2. Can you think of any other organizations/systems that you don't currently share or exchange any information with, but would benefit from the information available within your system/program? a. Is this agency/system internal or external? b. What kind of information would you provide? c. How large is the user base for this system? d. Have you tried establishing any kind of information sharing and exchange with them?

Objective	Question(s)
4. Identify any challenges in regards to information sharing and exchange	1. What challenges have you seen/could you see in establishing information sharing and exchange? a. Internally/Externally b. Future exchanges/Current exchanges

Appendix A - Pre-Interview Research

Agency/Organization:________________________ Program/Project:__________________________

Agency/Organization:________________________ Program/Project:__________________________

Appendix B - Interview Feedback

Interviewee:________________________________

Agency/Organization:________________________ Program/Project:___________________________

Interviewer:________________________________

Date/Time:________________________________ Location:___________________________________

Appendix C - Interview Questions and Core Capabilities Traceability

Indicator	Interview Question(s)*
1. Business Need	
1.1 Vision	1.1
1.2 Value	1.1, 3.1.b, 3.2.b
1.3 Policies and Standards	2.1 (all) 2.2 (all)
1.4 Strategic Priority Alignment	1 (all)
2. Stakeholder Community	
2.1 Executive Support	2.1.d.iii 2.2.d.iii
2.2 Program Champion	2.1.d.iv 2.2.d.iv
2.3 Personnel Skills and Training	2.3
2.4 Community Engagement and Ownership	2.1.d.v 2.2.d.v
2.5 Communication	2.1.d.ii 2.2.d.ii
2.6 Memorandum of Understanding/MOA	2.1.d.i 2.2.d.i

3. Planning Process	
3.1 Information Exchange Definition	2.1.d
3.2 Standards Adoption	2.1.b 2.2.b
3.3 Risk Management	2.1.e.i 2.2.e.i
3.4 Sustainability	2.1.e.ii, 2.1.e.iii 2.2.e.ii, 2.1.e.iii
3.5 Funding	2.1.e.iii 2.2.e.iii
4. Technical Capabilities	
*4.1 Impact Analysis	3.1, 3.2
4.2 Target Architecture	3.1, 3.2
4.3 Standards Implementation	2.1.b 2.2.b
4.4 Data Storage	2.1.a 2.2.a
4.5 Data Access	2.1.a 2.2.a
4.6 Data Transmission	2.1.b 2.2.b

*Interview question 4.1 may be applicable across all indicators