



United States
Department of Justice

U.S. Department of Justice's Global **Global Reference Architecture (GRA)**

Information Sharing Enterprise Statement of Participation

GRA

Version 1.1

April 2011

Global Infrastructure/Standards
Working Group

This project was supported by Grant No. 2008-DD-BX-K520 awarded by the Bureau of Justice Assistance, Office of Justice Programs, in collaboration with the U.S. Department of Justice's Global Justice Information Sharing Initiative. The opinions, findings, and conclusions or recommendations expressed in this publication are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Justice.

Table of Contents

Acknowledgements	iii
Document Conventions.....	iv
1. Purpose.....	1
1.1. Background	1
1.2. Objective and Scope.....	1
2. Eligibility	2
3. Mutual Understandings and Agreements	3
3.1. Governance and Authority	3
3.2. Service Agreements	3
3.3. Security	3
3.4. Identity and Access Rights Management	3
3.5. Acceptable Use	4
3.6. Audit.....	4
3.7. Conformance.....	4
3.8. Consequences of Nonconformance	5
3.9. Corrective Actions.....	5
3.10. Financial Agreements	5
3.11. Accountability.....	5
3.12. Privacy and Data Quality.....	5
3.13. Governing Law and Jurisdiction	6
4. Glossary	6
5. References.....	7
6. Document History	8

As a part of Global's effort to support information sharing activities that span jurisdictional boundaries within and outside of criminal justice, the Justice Reference Architecture (JRA) has been rebranded to the Global Reference Architecture (GRA). This change will not introduce any significant technical modifications to the architecture but is rather intended to provide a more inclusive service-oriented model that will meet the broader needs of justice, public safety, homeland security, health and human services, and additional stakeholders. The GRA, therefore, is designed to be an information sharing architecture that will meet the needs of government at all levels and fulfill the need for improved collaboration across communities.

Acknowledgements

The Global Reference Architecture (GRA) was developed through a collaborative effort of the Global Justice Information Sharing Initiative (Global) and the U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Assistance (BJA). GISWG would like to express its appreciation to BJA for its support and guidance in the development of GRA resources, such as this document. These resources provide invaluable assistance to local, state, regional, federal, and tribal entities toward the goal of improved information sharing.

Global aids its member organizations and the people they serve through a series of important initiatives. These include the facilitation of Global Working Groups. The Global Infrastructure/Standards Working Group (GISWG) is one of five Global Working Groups covering critical topics such as intelligence, privacy, security, outreach, and standards. GISWG is under the direction of Tom Clarke, Ph.D., National Center for State Courts. GISWG consists of three committees—Management and Policy, Services Implementation, and Enterprise Architecture. Global would like to recognize the members of the GISWG Management and Policy Committee and Mr. Dale Good, Chair, Management and Policy Committee, for their contributions to this resource.

Document Conventions

In this document, use of a bold small-caps typeface, as in this **EXAMPLE**, indicates an important concept or term defined either in the glossary or in the body of the text at the point where the term or concept is first used.

In this document, use of a bold caps typeface, as in this **[EXAMPLE]**, indicates an important resource document that is noted in the Reference Section of this document.

1. Purpose

The purpose of this document is to provide a reference model framework of expectations and obligations for those entities participating in any state, local, regional, or tribal information sharing enterprise. An information sharing enterprise is a consortium of information service providers and service consumers created specifically to engage in trusted and secure information sharing across disparate justice systems. With minimal modification, this document can be adopted by any information sharing enterprise offering or using information services.

1.1. Background

The nature of automated information sharing is evolving to an environment of peer entities offering information services that can be quickly discovered, requested, provided, consumed, and even reused in other new services. A large number of geographically disbursed participants and the impracticality of individually negotiated memoranda of understanding (MOUs) characterize this new paradigm.

The **GLOBAL REFERENCE ARCHITECTURE [GRA]**, a reference body of work that includes standards, methodologies, guidelines, and infrastructure requirements, is aimed at interoperability through a standardized implementation approach. Founded on service-oriented architecture (SOA) concepts, the GRA specifications and guidelines provide a technical and operational framework for any group of justice entities sharing information services. Information services founded on the GRA will enable trust relationships to be established dynamically within a community of interest while allowing participants to easily join and benefit from the loosely coupled distributed nature of large-scale information service networks.

1.2. Objective and Scope

The Global Justice Information Sharing Enterprise Statement of Participation, herein referred to as “Statement of Participation,” provides a general set of obligations, rules, and remedies that support the information sharing environment, as well as promoting interoperability, agility and reuse of conformant information services.

This Statement of Participation is extended through the use of service-specific agreements, or Service Level Agreements (SLAs), as opposed to a bilateral or multilateral agreement between specific parties. To this end, organizations and agencies become party to a consortium of services implementers who subscribe to the framework of general agreements and concepts presented below as part of being **GLOBAL JUSTICE INFORMATION SHARING ENTERPRISE (GJISE)** participants.

The GJISE requires a consistent understanding of the rules, policies, obligations, procedures, risk allocation, and corrective actions governing the:

- Services provided by a participant.
- Obligation of users of a participant's services to comply with the specific service policies governing the information provided.
- Conformance with the GRA.
- Participants' use, storage, protection, and sharing of information.
- Provisioning and management of any specifically required execution context, such as a shared technology infrastructure needed to support services.

The Statement of Participation serves as a legal buttress to the operational rules and technical standards implemented in providing and consuming (using) information services. It assigns legally enforceable actions in the event a participant fails to abide by the agreed-upon rules, policies, obligations, and procedures and applies to all information services, both provided and consumed, within the scope of the GJISE. An agreement to participate does not supersede any prior agreement among GJISE agencies regarding information service exchanges or preclude additional independent, out-of-band, bilateral, or multilateral agreements between participants from being established.

Declaring participation in the GJISE acknowledges that you, the organization/agency, agree to participate as a member of the GJISE, agree to all the provisions stated herein, and pledge to be actively engaged in the evolution of a standardized implementation approach to justice information sharing. Participants can leave the GJISE at any time or may be removed from the consortium of GJISE participants as set forth in section 3.8, Consequences of Nonconformance, below.

2. Eligibility

Eligible parties include the local, state, tribal, and federal agencies that support justice and public safety operations within the United States. Other nongovernmental organizations and agencies and non-U.S. agencies may be eligible as defined by the policies of the GJISE. Eligible participants must be actively engaged in the evolving processes, procedures, and products put forth by the GRA and the Global Justice Information Sharing Initiative (Global).¹ Entities are bound by the signature of an officer or other individual with the legal authority to act as signatory.

¹ Additional information regarding the Global initiative can be found at <http://www.it.ojp.gov/global>.

3. Mutual Understandings and Agreements

GJISE participants subscribe to the following set of mutual understandings and agreements. These provisions apply to all information service exchange activities between participants. The provisions of this Statement of Participation are to be included by reference in any related documents.

3.1. Governance and Authority

The governance and authority of this GJISE partnership is founded in the mutual agreement of all the signatories to this agreement. Each organization/agency has the authority, subject to law, to enforce the provisions within this agreement or other companion agreements. It is the responsibility of all GJISE participants to adhere to the provisions stated herein. It is also incumbent on them to monitor adherence to these agreements by service consumers under their authority with whom they share information services.

3.2. Service Agreements

GJISE participants offering information services will establish more specific, detailed rules, rights, and obligations for each service offered, through companion SLAs. These agreements will outline the specific rights and obligations of the GJISE **SERVICE PROVIDER** and GJISE **SERVICE CONSUMER**. All SLAs used to extend the Statement of Participation will include the pertinent Statement of Participation by reference while identifying any service-specific usage (consumer) rights and obligations. By providing or consuming a service, the participating parties agree to be bound by the complement of GJISE agreements; they warrant that they have the authority to do so and have the capacity to comply.

3.3. Security

Participants agree to conform to the appropriate GRA standards specified in the GRA Conformance Matrix² and service-specific security guidelines for modeling and developing services, as defined in each individual service agreement. Participants will make their specific security policies and compliance assessments available to the other federation participants upon request.

3.4. Identity and Privilege Management

(Note: For the purposes of this Statement, “Federation” pertains to a documented trust model among a collective of Identity Providers and Service Providers as defined

² The GRA Conformance Matrix is a future GRA deliverable.

in the *Global Federated Identity and Privilege Management Specification [GFIPM META]*,³ and is therefore capitalized to connote reserve use of the term.)

The GRA Service Specification Package [SSP] will specify utilization of a prescribed identity and privilege management methodology.

For federated identity and access control (e.g., use of the GFIPM specification), only properly identified and authorized GJISE participants (people and systems) can access GFIPM-enabled Federation services. Service Providers and Identity Providers (in a GFIPM-enabled Federation) must comply with the *GFIPM Metadata Specification [GFIPM META]*, *GFIPM Operational Policies and Procedures Guidelines [GFIPM OPPTS]*, and *GFIPM Governance Guidelines [GFIPM GOV]*.

The manner and mechanism of authentication and access control (federated or nonfederated) will be specified in the respective Service Level Document, as defined in the Service Specification Package, and will conform to provisions in the GRA Conformance Matrix, as applicable.

3.5. Acceptable Use

The acceptable use of a service may vary by service. Requirements specific to the service offered will be specified in the respective SLA, in which roles, responsibilities, and liabilities of each party in managing access will be explained and will conform to provisions in the GRA Conformance Matrix, as applicable.

3.6. Audit

The audit requirements for a service may vary by service offering. As such, requirements specific to the service offering will be specified in the respective SLA. GJISE participants commit to maintaining the audit trails required for services that they provide or consume. At a minimum, participants agree to maintain an audit trail and provide access to this information as stipulated in the SLAs for each service.

3.7. Conformance

GJISE participants acknowledge the need to adopt, adhere, and support the standards provided through the GRA and companion agreements. The rules, obligations, and other considerations comprising conformance are specified in the compendium of GRA documents and summarized in the GRA Conformance Matrix.

³ For more on GFIPM, please see <http://www.it.ojp.gov/gfipm>.

3.8. Consequences of Nonconformance

GJISE participants acknowledge that failure to adhere to the rules and obligations of participation in the GRA framework standards and specifications may result in:

- Exclusion from the use of an information service by the provider of that service.
- Exclusion from a GFIPM-based federation as determined by the consortium of GJISE participants.
- Any other legal sanctions specified in paragraph 3.13, Governing Law and Jurisdiction, below.

3.9. Corrective Actions

Participants agree to submit to the corrective actions set forth in the SLAs relative to the use of an information service. There are no other corrective actions expressed or implied within the scope of this Statement of Participation.

3.10. Financial Agreements

Financial agreements vary by information service and are in the SLA for each service. There may be financial agreements separately or in each SLA for the provisioning and management of any specifically required execution context, such as a shared technology infrastructure needed to support services. Participants will comply with the financial terms of the SLA and/or shared execution context agreement.

3.11. Accountability

Participants acknowledge responsibility for the negligent or wrongful acts or omissions of officers and employees and are accountable for understanding the extent of liability under the laws of the jurisdiction(s) to which they are subject. The Statement of Participation is not intended to create or confer—and does not create or confer—on any other person or entity any right or benefit, substantive or procedural, enforceable at law or otherwise.

3.12. Privacy and Data Quality

Participants recognize that key safeguards must be applied to ensure that the collection, use, retention, disclosure, and destruction of personal information are always performed in accordance with local, state, and federal laws and regulations. In addition, participants agree to abide by the data quality and privacy provisions for each service as specified in the SLAs for that service and conform to provisions in the GRA Conformance Matrix, as applicable.

3.13. Governing Law and Jurisdiction

This Statement of Participation, SLAs that extend the Statement of Participation, the relationship between the service provider and the service consumer, GRA Conformance Matrix, and any disputes relating to these agreements or otherwise arising between the GJISE participants will be governed and construed in all respects by the laws and decisions of the state specified by the service provider—including, without limitation, all matters of construction, validity, enforcement, and performance—unless superseded by federal law.

4. Glossary

GFIPM Federation Service

A system-to-system or user-to-system information exchange where the service conforms to the technical standards, operational policies and procedures, and governance documents specified within the GFIPM documentation set.

Service Provider

An entity in the GJISE that provides a consumable service to a consumer entity.

Service Consumer

An entity in the GJISE that consumes a service provided by the provider entity.

Global Justice Information Sharing Enterprise (GJISE)

Any group of business entities that pursue common business objectives through the sharing of information. This could be a county or city justice information sharing initiative, a statewide initiative, a tribal (or multitribe) initiative, a regional initiative, or a national initiative.

GJISE Participant

A justice entity (agency, branch, consortium, etc.) agreeing to or planning to provide or consume services within the proscriptive architectural standards of the GRA as defined in the participation agreement and any SLAs or other associated agreements.

Global Reference Architecture

The Global Reference Architecture (GRA) is an abstract framework for understanding significant components and relationships between them within a service-oriented environment. It lays out common concepts and definitions as the foundation for development of consistent service-oriented architecture (SOA) implementations within the justice and public safety communities.

GRA Conformance Matrix

This document will provide entities with GRA conformance requirements for information sharing. It is a future GRA work product of the GISWG Management and Policy Committee.

5. References

GFIPM	Global Security Working Group. Global Federated Identity and Privilege Management http://it.ojp.gov/gfipm
GFIPM GOV	Global Security Working Group. Global Federated Identity and Privilege Management Governance Guidelines, working draft March 2009.
GFIPM META	Global Security Working Group. Global Federated Identity and Privilege Management Specification, October 2008. http://it.ojp.gov/gfipm .
GFIPM OPPTS	Global Security Working Group. Global Federated Identity and Privilege Management Operational Policies and Procedures Guidelines, working draft, March 2009.
GRA	Global Infrastructure/Standards Working Group. Global Reference Architecture Specification Version 1.7. http://it.ojp.gov/globaljra .
SSP	Global Infrastructure/Standards Working Group. Service Specification Package. This is a work in progress and a future GRA deliverable.

6. Document History

Date	Version	Editors	Change
March 2009	1.0	Chris Rogers, Joe Wheeler, Dale Good	Initial Draft
April 2011	1.1		Changed JRA to GRA

Editors

Chris Rogers	Dale Good	Joe Wheeler
Donna Lindquist	David Gillespie	

About Global

The U.S. Department of Justice's Global Justice Information Sharing Initiative (Global) serves as a Federal Advisory Committee to the U.S. Attorney General on critical justice information sharing initiatives. Global promotes standards-based electronic information exchange to provide justice and public safety communities with timely, accurate, complete, and accessible information in a secure and trusted environment. Global is administered by the U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance.

For more information on DOJ's Global and its products, including those referenced in this document, call
(850) 385-0600

or visit

www.it.ojp.gov/globaljra



BJA

Bureau of Justice Assistance
U.S. Department of Justice