



United States
Department of Justice

U.S. Department of Justice's
GLOBAL JUSTICE
Information Sharing Initiative

2005

ANNUAL REPORT

to U.S. Attorney General Alberto R. Gonzales

OVERVIEW

The Global Justice Information Sharing Initiative (Global) was created by the U.S. Department of Justice to support the broadscale exchange of pertinent justice and public safety data and to serve as an advisory body to the U.S. Attorney General and the U.S. Department of Justice on justice information sharing issues. Through this counsel, Global promotes and offers recommendations to facilitate standards-based electronic information exchange to provide the justice community with timely, accurate, complete, and accessible information in a secure environment.

To help guide and facilitate the efforts of Global, the office of the U.S. Attorney General reached out to key personnel from local, state, tribal, federal, and international justice entities to form the U.S. Department of Justice Global Advisory Committee (GAC). This group of dedicated justice professionals works collaboratively to address the policy, connectivity, and jurisdictional issues that have hampered effective justice information sharing. GAC comprises justice agency executives and policymakers, justice automation planners and managers, justice information practitioners, and end users. This last group is vital because it distinguishes the GAC as a committee whose members are actively dedicated to the issue of information sharing precisely because they continue to be producers, consumers, and administrators of crucial justice data. The GAC membership reflects the Global tenet that the entire justice community must be involved in information exchange.

GAC operates in accordance with the provisions of the Federal Advisory Committee Act and convenes twice a year in Washington, DC. Meetings are announced in the *Federal Register*, and the public is welcome to attend as observers.



This document was prepared under the leadership, guidance, and funding of the Bureau of Justice Assistance (BJA), Office of Justice Programs, U.S. Department of Justice, 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 document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.

INTRODUCTION

Never before has America's need for justice information sharing been more compelling. The absence of this capability, however, has plagued practitioners for decades. While broadscale exchange has yet to be achieved, claims that the problem has gone unaddressed are unwarranted. The U.S. Department of Justice's (DOJ) **Global Justice Information Sharing Initiative (Global)¹ Advisory Committee** (hereafter, GAC or Committee) exists to make recommendations and support the chief law enforcement officer, the U.S. Attorney General. With the support and guidance of the Bureau of Justice Assistance (BJA) and DOJ, the GAC has concentrated its diverse expertise on challenges and opportunities for justice and public safety information sharing. Since 1998, members of this Federal Advisory Committee—representing justice and public safety communities at all levels of government—have actively advocated information sharing while safeguarding citizens' constitutional rights. Global is aimed at facilitating the appropriate "availability of information" and is truly a national effort.

During 2005, GAC recommendations to the U.S. Attorney General have positively impacted information sharing for the entire justice and public safety communities. The GAC has:

- Anticipated the need to broaden the scope of information sharing capabilities to address new threats to our nation, such as pandemics, which would necessitate critical sharing with nontraditional justice partners. On February 28, 2005, DOJ and the U.S. Department of Homeland Security (DHS) announced plans to "work jointly on a common computer language that could become a model for agencies to use to share information." Dubbed the **National Information Exchange Model (NIEM)**, this Extensible Markup Language (XML)² framework will leverage the successful Global Justice XML Data Model (GJXDM or "Model") as its base. This DOJ/DHS partnership represents a significant step in expanding the use of the GJXDM. It will likely mean future partnerships with other departments, such as Transportation or Health and Human Services, and the Intelligence Community, which used the GJXDM as the basis for a schema to share the terrorism watchlist.
- Continued to support the evolution, version releases, and training and technical assistance of the **Global Justice XML Data Model**. What began in March 2001 as a reconciliation of data definitions evolved into a broad endeavor to develop an XML-based framework that enabled the justice and public safety communities to effectively share information at all levels of government—laying a foundation for local, state, tribal, and national justice interoperability. In 2005, the GJXDM provided the basis for efforts such as NIEM; standards development for computer-aided dispatch systems; BJA's National Sex Offender Public Registry (NSOPR); the National Adult Compact Information System's nationwide sharing of probation and parolee information to criminal justice communities; and the National Governors Association selected states' information exchange efforts.
- Played a key role in facilitating the **Fusion Center Guidelines**. The ultimate goal of a fusion center is to provide a mechanism through which law enforcement, public safety, and private partners can come together with a common purpose and improve the ability to safeguard our homeland and prevent criminal activity. To that end, Global members; experts from local, state, tribal, and federal law enforcement and public safety agencies; the private sector; DOJ, DHS, and Federal Bureau of Investigation (FBI) representatives; and personnel from currently operating fusion centers developed the *Fusion Center Guidelines*, furthering many of the tenets of the *National Criminal Intelligence Sharing Plan* (NCISP or "Plan"). These guidelines may

be used for homeland security efforts as well as for all crimes. In addition, they can assist administrators in developing policies, managing resources, and evaluating services.

- Continued to provide support for the distribution and ongoing implementation of the **NCISP**, as deemed critical by law enforcement representatives across all levels of government in the wake of September 11, 2001. The Plan provides a cohesive vision and practical solutions to improve law enforcement's ability to detect threats and protect communities.
- Pursued recommendations regarding promising architectures for justice information sharing through concentration on **Service-Oriented Architecture (SOA)**. This architecture stresses the following key, beneficial points: (1) emphasize access to information, not the origin of the data; (2) focus on the form, utility, and content of the message that the user receives; (3) expect that information sharing will cross agency, discipline, and government boundaries; and (4) adopt an incremental approach that justice agencies can integrate into existing systems.
- Provided advice and counsel on security issues vital to information sharing, including updating the educational resource **Applying Security Practices to Justice Information Sharing** (a field compendium of current best practices and successful models for justice-related information technology [IT] security), examining **wireless security issues** with an eye toward guiding practitioners as they roll out new technologies/protocols, and recommending question-and-answer sets for justice decision makers in support of wise procurement choices.
- Facilitated the development of a **Privacy Policy Development Guide**, a practical, hands-on resource providing sensible guidance for developing a privacy policy. Using this guide will be the next logical step for those justice entities that are ready to move beyond awareness into the actual policy development process. Release is slated for early 2006.
- Provided input for the continued growth and maintenance of the **Justice Standards Clearinghouse for Information Sharing (JSC)**,³ a Web-based standards clearinghouse promoting a central resource of information sharing standards and specifications that have been developed and/or implemented across the nation.
- Shown as a great capacity for collaboration and expertise provision to a wide range of complementary efforts in addition to DHS, including the DOJ-sponsored Law Enforcement Information Sharing Program (LEISP).
- Supported the development of a unique commodity: **trust**. This is perhaps the Committee's most important contribution. In addition to its inclusive structure, the dialogue of GAC members engenders a collaborative atmosphere. Representatives have the opportunity to contribute ideas and recommendations on the front end of the process; local, state, and tribal members are brought to the table to add their voice to justice information sharing policy discussions, as opposed to receiving mandates and requirements "from above." Through this process and with time and effort, the GAC has engendered an *esprit de corps* among members from disparate constituencies and levels of government, resulting in a willingness to reconcile proprietary issues in pursuit of the common goal of sharing information.

Building on these contributions and leveraging crucial elements of trust and cooperation, the GAC has been able to support the following areas:

- Assisting BJA and the Office of Justice Programs (OJP) in promoting the implementation of NIEM, GJXDM, the NCISP, and the *Fusion Center Guidelines*.

- Recommending national leaders from local, state, and tribal justice agencies to participate in powerful federal initiatives, such as LEISP and efforts initiated by the Intelligence Reform and Terrorism Prevention Act of 2004.
- Promoting awareness of the critical need for appropriate privacy and information quality measures within and between agencies.
- Supporting coordination of related standards via use of the JSC and interaction with existing standards bodies and complementary standards efforts (for example, NIEM).
- Promoting effective practices and principles, such as Service-Oriented Architecture (SOA), to help facilitate broadscale information sharing.
- Supporting DOJ's efforts to address the challenges, exploit the opportunities, and provide procurement guidance regarding wireless communication.
- Recommending safeguards against misuse of personal information and improving criminal records reliability.
- Promoting acceptable integrated justice system security measures.

BACKGROUND

Global: Leading the way—getting the right information to the right people, in the right place, at the right time.

—Vision Statement of the Global Advisory Committee

MISSION AND GUIDING PRINCIPLES

The GAC recommends to the Assistant Attorney General and the U.S. Attorney General measures to improve the administration of justice and protect the public. The Committee promotes practices and technologies for the secure sharing of justice information as it relates to local, state, and tribal governments and their relationships to the federal government.

Under the support and guidance of BJA, DOJ, the GAC advises the U.S. Attorney General regarding the promotion of standards-based electronic information exchange throughout the justice and public safety communities. This effort is crucial because public and practitioner safety is best secured when all players—from patrol officers to prosecutors, from courts officials to corrections personnel—have access to timely and accurate information.

The guiding principles of the GAC are to:

- Support the goals of the U.S. Attorney General and DOJ by promoting an inclusive environment, bringing together representatives from the entire justice, public safety, and first responder communities to address and make recommendations to overcome the barriers to justice information sharing across agencies, disciplines, and levels of government.
- Facilitate information sharing among local, state, tribal, and federal law enforcement agencies—large or small—through the exploration and promulgation of the most promising methods for developing and sharing critical intelligence data.
- Support the development and implementation of standards that facilitate seamless exchange of information among justice, public safety, and first responder communities.

- Provide information that supports sound business decisions for the planning, design, and procurement of cost-effective, interoperable information systems.
- Identify concepts that leverage existing infrastructure, capabilities, and functionality.
- Support constitutional values and individual rights by ensuring the accuracy and security of justice information and the implementation of appropriate privacy safeguards. GAC recommends the adoption of privacy and information quality policies that promote the responsible collection, handling, management, review, and sharing of personally identifiable information.
- Acknowledge that while there is a strong national consensus that improved justice-related information sharing is critically important, there is a commensurate desire to protect individuals' privacy.

The GAC operates in accordance with Federal Advisory Committee Act (FACA) provisions and convenes twice a year in Washington, DC (in 2005, on April 27–28 and October 20). Meetings are announced in the *Federal Register*, and members of the public are welcome as observers.

GAC STRUCTURE: MEMBERSHIP, LEADERSHIP, AND WORKING GROUPS

GAC members represent key organizations from local, state, tribal, federal, and international justice and public safety and include agency executives and policymakers, automation planners and managers, information practitioners and, most importantly, end users. This last group distinguishes GAC as a committee: its members remain actively dedicated to information sharing precisely because they continue to be producers, consumers, and administrators of crucial justice-related data.

MEMBERSHIP

Committee membership reflects the fundamental tenet that the entire justice-interested community must be involved in information exchange. Member agencies are as follows:

- Administrative Office of the U.S. Courts
- American Association of Motor Vehicle Administrators
- American Correctional Association
- American Probation and Parole Association
- Association of State Correctional Administrators
- Conference of State Court Administrators
- Criminal Intelligence Coordinating Council
- Criminal Justice Information Services Advisory Policy Board
- Executive Office for United States Attorneys
- Federal Bureau of Investigation—Criminal Justice Information Services Division
- International Association of Chiefs of Police
- International Association of Chiefs of Police—Division of State and Provincial Police
- International Association of Chiefs of Police—Indian Country Law Enforcement Section
- INTERPOL—USNCB
- Major Cities Chiefs Association
- National Association for Court Management
- National Association of Attorneys General
- National Association of State Chief Information Officers
- National Center for State Courts

- National Conference of State Legislatures
- National Council of Juvenile and Family Court Judges
- National Criminal Justice Association
- National District Attorneys Association
- National Governors Association
- National Legal Aid & Defender Association
- National Sheriffs' Association
- Nlets—The International Justice and Public Safety Information Sharing Network
- SEARCH, The National Consortium for Justice Information and Statistics
- U.S. Department of Homeland Security
- U.S. Department of Justice—Justice Management Division
- U.S. Drug Enforcement Administration

LEADERSHIP

The current GAC chair and vice chair, elected biennially (most recently, fall 2004) by fellow committee members, are Colonel Kenneth Bouche, Illinois State Police, representing SEARCH, The National Consortium for Justice Information and Statistics; and Mr. Thomas O'Reilly, New Jersey Office of the Attorney General, representing the National Association of Attorneys General. Elections for the succeeding GAC leadership term will occur in fall 2006.

The GAC Executive Steering Committee (GESC) consists of the GAC chair and vice chair, working group chairs, and four at-large GAC representatives. The at-large representatives are nominated and elected by GESC.

The GESC has the responsibility to:

- Provide advice to the Designated Federal Official (DFO) regarding areas of priority and recommended research and prepare advisory recommendations for the approval of GAC. Upon approval of advisory recommendations, GESC forwards them to the Assistant Attorney General and the U.S. Attorney General (or the designated appointee).
- Schedule meetings and develop GAC meeting agendas with the approval of the GAC chair and the DFO.
- Solicit suggestions for additional technical, professional, and administrative assistance to effectively and adequately address areas of need to support DOJ activities.

WORKING GROUPS

GAC working groups comprise committee members and other subject-matter experts, expanding GAC's knowledge and experience. These groups are formed around timely issues impacting justice information sharing and meet as often as necessary. During 2005, the following working groups engaged in the following targeted areas.

GLOBAL INFRASTRUCTURE/STANDARDS WORKING GROUP

The Global Infrastructure/Standards Working Group (GISWG) was formed to facilitate broadscale data exchange by developing and adopting an architecture and standards that enable transparent integration of disparate systems.

This working group recommends a framework that assists government entities in establishing an operational environment, enabling the sharing of justice, public

safety, and first responder information within the guiding principles of GAC. GISWG identifies strategies and tactics that will implement that framework, which will be designed to identify those critical components—programmatic and technical—necessary to develop and maintain a sound justice information sharing architecture.

GLOBAL INTELLIGENCE WORKING GROUP

The newest of the working groups,⁴ in accordance with the governing *Bylaws*,⁵ the Global Intelligence Working Group (GIWG), was assembled at the direction of BJA to examine and integrate the particular challenges of intelligence sharing into the GAC dialogue. In 2003, its first year, the GIWG supported the development, publishing, distribution, and ongoing implementation of the **NCISP**, deemed critical by law enforcement representatives across all levels of government in the wake of 9/11. The Plan provides a cohesive vision and practical solutions to improve law enforcement's ability to detect threats and protect communities.

This working group provides guidance and advice in connection with the implementation and refinement of the Plan. This goal is supported by the Criminal Intelligence Coordinating Council (CICC), inaugurated in June 2004, whose members advocate for local law enforcement in its efforts to develop and share criminal intelligence for the promotion of public safety and the security of our nation. The GIWG and CICC work to ensure that every chief, sheriff, and law enforcement and homeland security executive understands the role their agency plays in the development and sharing of information and intelligence.

GLOBAL PRIVACY AND INFORMATION QUALITY WORKING GROUP

The Global Privacy and Information Quality Working Group (GPIQWG) was formed by BJA because of the growing need to address information privacy as impacted by advancing technological capabilities. Indeed, *privacy* may become one of the most important technology issues of the twenty-first century.

This working group makes recommendations to the U.S. Attorney General on issues regarding the adoption of privacy and information quality policies by justice system participants. These policies promote the responsible collection, handling, management, review, and sharing of (personal) information about individuals. The GPIQWG (1) assists government in ensuring that personal information will not be inappropriately disseminated or misused, (2) ensures that there are safeguards against the collection and use of inaccurate information—particularly when the information is disseminated in open environments such as Internet-based systems, and (3) improves the reliability of criminal records in an integrated electronic system.

GLOBAL SECURITY WORKING GROUP

The Global Security Working Group (GSWG) was formed in recognition of the fact that the security of the justice information exchange enterprise is only as strong as its weakest link. Of particular importance is the enhancing of data security across trusted justice information systems and networks, developing best practices based on industry standards, and creating an awareness of the criticality of security for the exchange of data. The working group's focus is based on justice practitioners' needs, industry direction, and key collaborative initiatives from the other Global working groups. GSWG members acknowledge the importance of determining effective security guidelines for legacy systems, as well as the new and enhanced systems to which they are joined.

This working group enables the trusted sharing of justice information by recommending best practices for security guidelines, technologies, and procedures. This goal encompasses exploration and recommendations regarding resources on wireless security, security architecture, and Web services security. Also, standards and architectures need to be identified that allow practitioners to acquire and migrate to the technologies and policies that provide **secure** interoperability. To that end, GSWG contributes ideas that further review, gap analysis, risk mitigation, and implementation studies of technology standards and implementations.

OUTREACH COMMITTEE

To engender widespread justice information sharing and support, a great deal of education and sharing of expertise needs to take place.

GAC outreach supports the justice and justice-related communities by promoting the functions, activities, and objectives of the U.S. Attorney General and BJA, encouraging them to create an environment that promotes the sharing of justice information, using efficient and cost-effective technologies and practices.

The outreach task is not housed under a single working group. Instead, the responsibility for achieving the outreach goal is remanded to the GAC working group chairs and, indeed, each member of the GAC. To wit, a fundamental committee member's responsibility is to act as a conduit to their constituency, both "pushing" committee resources down into their community as well as "pulling up" expertise in that pool.

Outreach efforts are coordinated by a volunteer member of the GAC.

YEAR IN REVIEW

During 2005, the GAC has engaged in the following activities:

GLOBAL INFRASTRUCTURE/STANDARDS WORKING GROUP

In the past few years, this working group has been active in supporting the JSC and the increasing popularization and adoption of the GJXDM. In 2005, the GISWG continued to focus on standards, particularly as the first draft version of NIEM, Version 0.1, was released in mid-October for public comment. As previously noted, NIEM is an XML-based schema that can be used by different agencies to share information by using a standardized set of metadata to encode their information, thus enabling them to exchange data with other agencies. NIEM uses the GJXDM as its foundation but expands the GJXDM to be applicable to areas beyond the justice community. NIEM is the result of a collaborative effort by DOJ and DHS that was launched in February 2005. Global will continue to play a leading role in the NIEM effort on both the governance and technical development fronts, ensuring GJXDM users have their investments protected and that the voice of local, state, and tribal justice entities remains vital as the standards exchange dialogue broadens to include new participants and a more national flavor.

The group also turned considerable attention to SOA—its implications, opportunities, and challenges for justice constituencies as Global pursues the development of a Justice Reference Architecture (JRA). In 2004, a GISWG "tiger team"—composed of a balance

of industry technology experts and justice decision makers—assembled to propose **A Framework for Justice Information Sharing: Service-Oriented Architecture (SOA)**.⁶ With the inclusion of an amendment to add language emphasizing privacy policy development, the SOA document was unanimously acknowledged by the GAC.

The resolution was accepted as follows:

The GAC adopts this report (as amended to address privacy and information quality issues) of the GISWG, titled *A Framework for Justice Information Sharing: Service-Oriented Architecture (SOA)*.

Global recommended the following items to DOJ:

- Encourage agencies to recognize SOA as the recommended framework for development of justice information sharing systems.
- Forward to the U.S. Attorney General the report's action agenda for its activities to further the utility of SOA for the justice community.
- Urge the members of the justice community to take corollary steps in the development of their own systems.

To further advance Global investigation and pursuit of SOA, GISWG members subdivided into three subcommittees charged with examining topics that represent key architectural issues: registries, services, and standards. Subcommittee leaders supported the development of a plan to include recommendations to four key audiences:

1. State and local policymakers.
2. State and local technology managers.
3. Vendor community.
4. Federal funding agencies.

In 2005, each committee formally articulated a mission statement:

- **Mission Statement of the GISWG Registries Subcommittee:** Within Global's SOA effort, the role of the GISWG Registries Subcommittee is:
 - To clarify the role and use of registries.
 - To help drive deployment in the justice community.
- **Mission Statement of the GISWG Services Subcommittee:** Develop a process to identify, define, and deploy a consistent set of justice services and validate the process through the identification and definition of an initial set of justice services.
- **Mission Statement of the GISWG Standard Subcommittee:** To promote the use of appropriate SOA standards in the justice environment in support of the broader DOJ vision of justice information sharing by:
 - Identifying applicable standards currently available.
 - Identifying gaps in available standards.
 - Identifying the appropriate process(es) to address any gaps.

During 2005, each of the subcommittees worked toward developing recommendations in support of their mission statement. Initial deliverables focused on further educating the community: high-level tutorials to help policymakers understand the components (and associated value propositions) of SOA. Two of these resources were presented for Committee approval at the fall 2005 meeting:

1. ***Exploring Service-Oriented Architecture Registries for Justice Information Sharing.***
2. ***Exploring Service-Oriented Architecture Services for Justice Information Sharing.***

In November 2005, select GISWG members and subject-matter experts participated in a Messaging Focus Group. While working on additional pieces of the SOA for the justice community, the GISWG and its Services Subcommittee identified a need to specify standard messaging profiles in support of interoperable justice transactions. The intent is to describe an expandable set of standard messaging profiles that enable justice agencies to successfully share information. These messaging profiles are intended to be used with other pieces of a Justice Reference Architecture (JRA) in a modular fashion. Further, specific messaging profiles are intended to be substitutable in a functional sense. Messaging currently represents a significant risk for the JRA and its goal of interoperability because justice transactions carry with them a significant set of technical requirements unrelated to the semantic content. That is, transactions must comply with critical business rules, such as security and reliability requirements, beyond message content. Although the consistent description of such technical requirements for justice transactions is a necessary and significant step, it is still not a sufficient step for interoperability. A particular security requirement may not be implemented in a consistent way, causing the transaction to fail.

Unless messaging profiles are addressed, justice agencies will attempt to share messages with compatible and standardized content, only to sometimes have those transactions fail because the messages literally cannot be accepted without expensive customization, or the messages should not be received because they fail to comply with nonfunctional requirements embodying critical business rules.

The mission of this focus group was to identify a strategy for creating standards-based messaging profiles. Suggested steps to create such profiles included:

1. Describing the relationship of messaging profiles to the other parts of a technically complete reference architecture, such as the semantic content.
2. Identifying the technical requirements for justice transactions so that the messaging profiles can be properly described and constrained.
3. Identifying multiple messaging profiles that the general justice community uses for information sharing.
4. Prioritizing those profiles according to some criteria such as frequency of use or industry support.
5. Specifying how each prioritized messaging profile will consistently and compatibly implement the set of technical requirements for justice transactions.

A report summarizing the results and recommendations of this group will be released in early 2006.

JUSTICE STANDARDS CLEARINGHOUSE FOR INFORMATION SHARING

Justice-related information sharing is greatly facilitated by the development and adoption of a standards-coordination process, permitting the transparent integration of disparate systems. Numerous standards-development efforts under way within the justice community and other sectors, such as public safety and transportation, undoubtedly impact the overall safety of citizens. These activities, including those sponsored by

industry, deserve close attention and coordination. Responding to this imperative for coordination, the GISWG—through the GAC—facilitated the development of the **Justice Standards Clearinghouse for Information Sharing (JSC)**, an easy-to-access information exchange tool for practitioners across the entire justice/public safety landscape, at every level of government. OJP released the JSC in fall 2002, and Global support continues to make recommendations regarding the improvement of the resource as necessary.

The clearinghouse:

1. Facilitates the planning and implementation of effective information sharing projects by enabling practitioners to review their peers' standards concepts, documents in progress, specifications, and completed and/or implemented standards (saving time, money, and effort).
2. Provides real-world insight into the utility and application of the clearinghouse's entries through accompanying "users' comments" sections.
3. Allows practitioners to submit standards and comments for the benefit of the whole justice-interested community.
4. Represents standards in all phases of the development process: planning, emerging, implementation, and twilighting.

The JSC is housed on DOJ's OJP IT Initiatives Web site,⁷ a comprehensive, easily accessible resource exploring the information sharing process, initiatives, and technological developments. By logging on to JSC, users have a number of valuable services at their fingertips, such as:

- A repository of IT and communications standards and specifications. In some cases, the clearinghouse contains the entire standard.
- A Web-based method of sharing information regarding justice and public safety-related data exchange, retrieval, collaboration, and integration.
- A forum for feedback and review.
- A search engine, help screens, and tutorial to maximize capabilities.
- A subscription service that automatically alerts registered users about the addition or updating of standards.

The clearinghouse has never been more relevant, especially as a companion resource to other DOJ efforts. Particularly, the GJXDM and SOA standards work will be housed on JSC, availing themselves of critical review-and-comment mechanisms.

GLOBAL JUSTICE XML DATA MODEL

BACKGROUND

In January 2004—after years of development, testing, and refinement—the first operational version of the GJXDM, Version 3.0, was released. What began in March 2001 as a reconciliation of data definitions evolved into a broad endeavor to develop an XML-based framework that enables the justice and public safety communities to effectively share information at all levels of government—laying a foundation for local, state, tribal, and national justice interoperability.

Shepherded by BJA and GISWG and with support from the Global XML Structure Task Force (GXSTF), GJXDM represents an object-oriented data model composed of a well-defined vocabulary of approximately 2,500 stable data objects, or reusable components,

that facilitate the exchange and reuse of information from multiple sources and multiple applications. Prior to the development of the Model, justice agencies generally operated within their own computer networks and database systems, resulting in a fragmented environment where requests for critical information took days or weeks to get to the appropriate agencies. Since its prerelease in April 2003, the GJXDM has undergone intensive review and validation, including an open public-comment period, pilot validation projects, an online feedback and error-reporting mechanism, and a listserv for sharing expertise and support.

IMPROVING/REFINING THE GJXDM IN 2005

In 2005, one of the most significant enhancements to the Global standard was the development and September release of the **GJXDM Virtual Help Desk**, available free-of-charge to the public. This new interactive resource provides an enhanced level of help to individuals and agencies implementing the GJXDM and includes an online knowledgebase, as well as the option to submit questions to live support staff via the Web or e-mail or by phone.

There are three levels of staff support. Level 1 is staffed by the IJIS Institute and provides basic responses, builds the knowledgebase, and manages the project. Level 2 is staffed by the National Center for State Courts (NCSC) and SEARCH, The National Consortium for Justice Information and Statistics and provides specific domain expertise. Level 3 is staffed by IJIS member companies and the Georgia Tech Research Institute (GTRI) and provides technical expertise for the most difficult technical questions. Additionally, technical enhancements to the current GJXDM, Version 3.0.3, were made, including the GJXDM Patch-1, which corrects labeling of Uniform Crime Reporting (UCR) documentation elements for UCR codes. This patch is applicable to all operational versions of the GJXDM; however, only GJXDM, Version 3.0.3, will be patched in the Schema Subset Generation Tool (SSGT). Want lists that were previously generated by SSGT from the nonpatched 3.0.3 release will be regenerated with the updated (patched) UCR schema.

Throughout GJXDM development, testing, and refining, tools are identified as necessary for assisting individuals and agencies in implementing GJXDM. These tools, developed with support from GTRI, allow the user to search the model, build schema subsets, and achieve validation, as well as provide for a mechanism for reporting errors. Additionally, illustrative of BJA's ability to both leverage existing works and encourage collaboration among justice partners, several key justice organizations and partnering agencies also developed their own GJXDM tools, including the NCSC Wayfarer exploration and discovery tool, SEARCH's Justice Information Exchange Model (JIEM)⁸ interface with the GJXDM (allows users to incorporate reference exchanges into their site databases at the outset of their documentation efforts), and the National Incident-Based Reporting System's (NIBRS) Mapping to the GJXDM. As new GJXDM tools are identified and developed, they will be made available on the OJP IT Web site.

ENCOURAGING CONSISTENT REPLICATION AND REUSE

GJXDM is a *reference model*, not a rigid standard that must be used exactly in its entirety. However, several informal requirements offer guidance for GJXDM conformance, resulting in an interoperability that would be otherwise unachievable, given the popularization of the Model and proliferation of custom schemas and dictionaries. Additionally, during the previous year, it was determined that all recipients of XML technology grants must use the GJXDM Implementation Guidelines. XML grant recipients must also publish all XML schemas resulting from use of the Model in the

JSC. This requirement is stipulated as a grant “Special Condition” under the title of *Support Public Safety and Justice Information Sharing*. The Office of Community Oriented Policing Services (COPS) and the DHS Office for Domestic Preparedness have also adopted the same “special condition” language.

THE PEOPLE BEHIND THE MODEL: THE GLOBAL XML STRUCTURE TASK FORCE

Originally assembled in March 2001 as the drivers behind the XML Reconciliation Effort,⁹ the GXSTF has successfully transitioned through various levels of the GJXDM standards-based evolutionary process. The GXSTF is a volunteer technical advisory group that consists of government and industry domain experts, technical managers, and engineers. It identifies data requirements, explores XML concepts, and applies XML best practices to the design and implementation of the GJXDM. Technical development support is provided by GTRI. To continue refining and evolving the Model, the GXSTF schedules periodic conference calls and participates in approximately two face-to-face meetings per year. The GXSTF also interfaces with the IJIS Institute XML Advisory Body and the GJXDM Training and Technical Assistance Committee (GTTAC) to provide ongoing collaboration. Meetings are scheduled with other stakeholders and interested organizations to provide accurate information and timely input regarding the Model. A summary of 2005 achievements includes:

- Providing development oversight of the GJXDM standards.
- Providing a road map for GJXDM activities and priorities.
- Collaborating with other groups (such as SEARCH, GTTAC, and the IJIS Institute) for ongoing support in the development of GJXDM.
- Resolving numerous maintenance and program errors.
- Participating in the GJXDM community listserv.
- Supporting the initial release of the GJXDM, Version 3.0, through follow-up versions.
- Presenting at conferences for numerous organizations, such as SEARCH, GJXDM Developer’s Workshop (discussion following, under GTTAC) and Annual User’s Conference, and the IJIS Institute.
- Refining GJXDM Executive Overview resources (e.g., CD) to better educate high-level, nontechnical justice decision makers on the value proposition of the standard.
- Supporting development of GJXDM reference documents.
- Participating, from inception, in the NIEM effort at both the governance and technical levels.

GJXDM: A SUCCESS STORY

The GJXDM represents a milestone in developing standards for the baseline data needs of the justice and public safety communities and their related partners. In that sense, it is becoming a reference benchmark for jurisdictions in the justice and public safety communities (and beyond, i.e., NIEM) to use, in its entirety or in part, to fulfill their specific needs. A true success story, the GJXDM is recognized by prestigious organizations and distinguishes itself among strong company:

- In 2005, GJXDM was among 10 federal agency semifinalists and 50 overall for the prestigious Innovation in American Government (IAG) awards. Often referred to as the “Oscars” of government prizes, IAG recognizes the nation’s best public sector programs in education and training, criminal justice and public safety, economic and community development, health and social services, management, transportation, public works, and the environment. The programs were chosen from a pool of more than 1,000 applicants for their novelty and uniqueness, effectiveness in addressing

important problems, significance, and potential for replication by other government entities.

- The GJXDM formed the standards exchange basis for the highly acclaimed DOJ National Sex Offender Public Registry (NSOPR). Under the direction of the U.S. Attorney General Alberto Gonzales, BJA has developed the NSOPR, releasing the resource in May. NSOPR allows citizens to search preexisting public sex offender registries. The registry will use Web services and Global XML as the computer language, relaying offender data to the national registry from disparate systems. NSOPR serves as an opportunity for all states and territories to share comprehensive, free-of-charge public sex offender data with citizens nationwide. At the close of 2005, the registry connected 37 states, the District of Columbia, and a territory to the site.

GLOBAL INTELLIGENCE WORKING GROUP

In 2005, a significant project of the GIWG and associated CICC was the facilitation, development, and GAC approval of the *Fusion Center Guidelines*.

Background and further details:

As part of DOJ's Global's efforts to develop fusion center guidelines, the CICC, in support of BJA, OJP, recommended the creation of the Fusion Center Focus Group. This focus group was tasked with recommending guidelines to aid in the development and operation of fusion centers.

Concurrently, the Homeland Security Advisory Council (HSAC) Intelligence and Information Sharing Working Group focused on developing guidelines for local and state agencies in relation to the collection, analysis, and dissemination of terrorism-related intelligence in the context of fusion centers. The recommendations resulting from HSAC's efforts assisted in the development of the *Fusion Center Guidelines*.

The Fusion Center Focus Group, whose mission was to further many of the tenets outlined in the NCISP, included experts and practitioners from local, state, and federal law enforcement and public safety agencies, as well as representatives from DOJ, DHS, and the FBI. In addition, members from national law enforcement and public safety organizations, the private sector, and currently operating fusion centers participated in the focus group's efforts.

The focus group members recommended that the guidelines include all crime types and that centers provide an array of intelligence services. In addition, the group recommended that centers be scalable based on the needs of the city, state, or region and conduct tactical, operational, and strategic intelligence functions in support of criminal investigations.

As a result of the focus group's work, 18 guidelines were developed:

1. The NCISP and the Intelligence and Fusion Processes
2. Mission Statement and Goals
3. Governance
4. Collaboration
5. Memorandum of Understanding (MOU) and Non-Disclosure Agreement (NDA)
6. Database Resources
7. Interconnectivity

8. Privacy and Civil Liberties
9. Security
10. Facility, Location, and Physical Infrastructure
11. Human Resources
12. Training of Center Personnel
13. Multidisciplinary Awareness and Education
14. Intelligence Services and Products
15. Policies and Procedures
16. Center Performance Measurement and Evaluation
17. Funding
18. Communications Plan

The development of guidelines for fusion centers was separated into three phases—law enforcement intelligence, public safety, and the private sector.

In 2005, the GAC unanimously recommended the completed *Fusion Center Guidelines*. These guidelines may be used for homeland security efforts, as well as for all crimes. By integrating these guidelines, agencies can resolve and overcome many common obstacles. In addition, guidelines can help guide administrators in developing policies, managing resources, and evaluating services.

With the support and guidance of BJA and through frequent collaboration with the nation's premier law enforcement agencies and organizations, intelligence-related initiatives¹⁰ and activities accomplished in 2005 included:

- Involvement by local and state representatives to assist with information sharing aspects of implementing the **Intelligence Reform and Terrorism Prevention Act of 2004**.
- GAC recommendation of the GIWG Connectivity/Systems Committee Terrorist Watch-List Subcommittee's ***Recommendations for Distribution of Watch-List Training Materials***.
- GAC recommendation of the ***Law Enforcement Analyst Certification Standards***, developed in conjunction with the International Association of Law Enforcement Intelligence Analysts, to be used as supplementation to other GIWG certification resources.
- GAC recommendation of the GIWG Connectivity/Systems Committee's ***Recommendations for Intelligence Requirements for Local, State, and Tribal Law Enforcement***.

GLOBAL PRIVACY AND INFORMATION QUALITY WORKING GROUP

GPIQWG comprises privacy experts from across the justice landscape (including victims' services) committed to balancing the need for data exchange—spotlighted in the post-9/11 environment—with vigorous protection of individuals' constitutional rights. In 2004, GPIQWG members finalized *Privacy and Information Quality Policy Development for the Justice Decision Maker*¹⁸ (hereafter "Privacy Policy Paper" or "Paper I").

In 2005, as follow-up to this very successful overview, GPIQWG members completed the ***Privacy Policy Development Guide*** ("Guide"), an in-depth, hands-on companion resource to Paper I. Geared toward the practitioner charged with developing or revising their agency's privacy policy, this much-anticipated document is a practical, hands-on resource. Using the Guide is the next logical step for those justice entities that are ready to move beyond awareness into the actual policy-development process. While this

manual may certainly be of interest to justice leaders (just as Paper I is excellent reading for field practitioners), the target audience of the material is those professionals tasked with getting the job done. (While GPIQWG is charged with exploring issues related to privacy *and* information quality, the Guide largely addresses privacy policies. While the two topics are certainly interrelated, information quality warrants equally focused, individualized treatment, perhaps in a separate resource manual. In this Guide, the topic of information quality is broadly addressed. The matter is slated for more in-depth exploration in 2006.) The *Privacy Policy Development Guide* was presented to the GAC in October 2005 and, per formal recommendation by the Committee, is enjoying wide release online (via the Global Web site) and in hard copy, as requested.

(Both Global privacy documents draw on the fundamental work accomplished by the Privacy Guideline for Justice Information Systems.¹¹ The GAC, through the GPIQWG, coordinated the production of this previous manual.)

Additionally, GPIQWG members contributed expertise and editorial review to the Justice Management Institute's ***Privacy and Civil Rights Policy Templates for Justice Information Systems***. These templates cover a range of computer-based justice information systems and can be used by entities that are developing or modifying an incident- or events-based records management system, a case management system, an integrated criminal justice information system (that supports the work of or is used by several agencies or courts), a criminal history record information system, a criminal intelligence gathering system, and/or entities that are creating or joining a justice information sharing network. The policy templates are intended for systems that seek or receive, store, and make available information in support of criminal investigations, crime analysis, law enforcement, protection of public safety or health, or other matters handled through the justice system. The templates are also relevant to the administration of justice, strategic/tactical operations, and national security responsibilities. Information contained in this resource is complementary to material in the *Privacy Policy Development Guide*. At the October GAC meeting, GAC members unanimously endorsed the templates as a recognized resource for the field.

GLOBAL SECURITY WORKING GROUP

In 2005, GSWG and its committees—the Global Security Architecture Committee (GSAC) and Global Web Services Security Committee (GWSSC)—provided enhanced collaboration among subject-matter experts and justice practitioners in wireless security; security architecture framework in support of the NCISP; and Web services, SOA, and emerging technologies security. DOJ and the GSWG have reached out to additional federal partners to collaborate on security matters. This coordination has provided information sharing research, resources, and the reusability needed to leverage scarce resources.

The GSWG supported the development and refinement of resources and outreach materials geared towards practitioners and decision makers and recommended development of resources that would be useful to them. This included updating¹² ***Applying Security Practices to Justice Information Sharing***.¹³ This well-received educational resource¹⁴ for justice executives contains background information, overviews of best practices, and guidelines for secure information sharing, organized along the specific disciplines¹⁵ the GSWG identified as spanning information security architecture. The document includes justice information sharing models (Joint Task Force, Centralized Information Repository, Peer Group, and Justice Interconnection Services Network) that are frequently encountered in justice applications and

corresponding recommended security guidelines and usage examples. These four models are simplified representations of the organizational relationships, computer systems, and the flow of information encountered in the justice and public safety communities. They serve as illustrations of “best-of-breed” security practices. In application, most real-life justice information systems are a combination of these models. An “Executive Overview” of *Applying Security Practices to Justice Information Sharing* was produced in the interest of outreach and education.

In 2005, GSWG members have primarily concentrated on examining **wireless security**. The need for Global input and recommendations in this area is great because of factors such as:

- The use of all types of wireless devices by the public safety and justice community has grown to 6.9 million devices and is projected to be at least 13.8 million by 2008.
- A law enforcement officer will have on average three devices, such as a portable radio, pager, personal digital assistant (PDA), cell phone, and laptop. The same device may be used by more than one officer, which adds a layer of complexity. Agencies may set up temporary wireless broadband networks at incident sites as well.
- Law enforcement’s roaming and mobility requirements impact interoperability, support, and information sharing specifications and standards. Given the increase in the number of devices, applications, and networks involved in responding to incidents, security has become a hot-button issue and an enormous challenge for police chiefs and other first responders.
- In 2005, a new spectrum was released to the public safety and justice communities by freeing up contiguous 800 MHz spectrum and by reducing the degree of interference within the band. The release of this new spectrum increases the need for a targeted framework for wireless security as police chiefs and other decision makers purchase technology for local use. Guidance is needed in terms of spectrum-sharing concepts for security to facilitate information sharing and interoperability.
- Lawmakers, decision makers, and practitioners are pushing for tighter security and tougher requirements because of cyber security threats. The sheer impact of numbers and the ease of generating known attacks, such as eavesdropping and denial of service, can lead to disastrous results if the risks are not mitigated. Current security technologies and protocols—such as Wired Equivalency Privacy (WEP), Wireless Protected Access (WPA), and Software Defined Radio (SDR)—are not without major disadvantages when implemented by justice practitioners. Strategies that identify the risks and discuss potential solutions will help to guide practitioners when they roll out new technology, and question-and-answer sets will aid decision makers in making purchases.
- Finally, interoperability and information sharing within the justice community require the ability to talk to whom you need to talk to, when you need to talk to them (data and voice), in real time. There is a critical need for message transport, network security, authentication/privileges, privacy, attack detection and prevention, monitoring, access control, and interoperability standards—regardless of whether the playing field is wired or wireless.

In response to the pressing need, the DFO requested that GSWG support several key wireless security activities, including better education for the field. To that end, in 2005 GSWG members pursued a **supplement to *Applying Security Practices to Justice Information Sharing* to specifically address wireless deployments**. The document

will contain expanded information containing wireless overviews and guidelines for secure information. Additional content specifically relevant to wireless environments will be used to expand on the previous resource.

Working group members also pursued the production of **Electronic Technical Bulletins (ETBs) on security topics**. Essentially an electronic flyer, an ETB will be approximately one page, comprising three key points about the chosen topic, a brief topic discussion, Web links, contacts, and a statement about Global. Suggested topic areas for ETBs include:

- Common wireless attacks—eavesdropping and denial of service.
- 4.9 GHz.
- Wireless Access Points (WAP): A “How To.”
- Wireless procurement.

In 2005, the ETB “So you want to set up Wi-Fi . . .”—a document to assist practitioners in setting up wireless access points on their networks—was delivered by the GSWG.

GLOBAL SECURITY ARCHITECTURE COMMITTEE

DOJ supported the NCISP through the activities of the GSAC. To facilitate justice community members’ information sharing plans, the GSAC is exploring a security framework in alignment with the tenets of the NCISP. This security framework will assist practitioners in targeting the best security technologies, easing security deployment challenges. To this end, the GSAC has supported security framework documentation on the Problem Statement and Scope, Operating Concept and Target Architecture, and Demonstration Project Concept Overview. In 2005, the GSAC made progress in defining two important aspects of that architecture: (1) a federated identity management strategy and (2) the definition of a “common usage profile”—an XML-based standard that specifies the identity, properties, and privileges of participants in the criminal intelligence information sharing community. Work in these areas continues and will have significant implications for efforts of the other three Global working groups. The results of these foundational tenets will provide the basis for GSAC’s recommendations in 2006 on a conceptual security framework model, application of current technology standards, and implementation of a pilot project to research and develop trusted credentials—again, in support of the NCISP.

GLOBAL WEB SERVICES SECURITY COMMITTEE

Through the GWSSC, DOJ reviewed the literature on Web services implementation standards, protocols, and requirements in the justice community. Their findings were that very little existing information applies directly to justice practitioners and decision makers. In response, the committee recommends continuing research and efforts to supplement the body of justice-related Web services knowledge through a series of white papers and other subject-driven resources.

OJP IT INITIATIVES/GLOBAL WEB SITE

In 2005, the OJP IT Initiatives/Global Web site,¹⁶ www.it.ojp.gov, has experienced dramatic growth since it was first launched in December 2002. This comprehensive “one-stop shop” was developed for interested justice and public safety practitioners at all levels of government and all stages of the information sharing process. The umbrella OJP IT Web site contains an expansive collection of Global-facilitated information and is divided into four sections:

1. IT Initiatives—The IT site is an Internet-based resource that enables justice practitioners at all levels of government to access timely and useful information from information sharing and technology integration processes, initiatives, and developments. It provides a wealth of justice information sharing-related information, including:
 - a. News and resources on justice information sharing developments, funding, pilots and projects, technology, legislation, policies, products, training, and model information sharing systems. Samples of the technology featured include XML, biometrics, Global Positioning System (GPS), Geographic Information System (GIS), radio and wireless technology, incident mapping, and criminal pattern analysis.
 - b. An event calendar of Global-sponsored and relevant justice agencies' conferences, training, and public events.
 - c. Featured information sharing initiatives and organizations, such as DHS, the National Governors Association (NGA), Law Enforcement Information Technology Standards Council (LEITSC), and the Justice Information Sharing Professionals (JISP).
2. Global Justice Information Sharing Initiative—contents include:
 - a. Global-facilitated resources for the field, such as:
 - *Fusion Center Guidelines.*
 - *National Criminal Intelligence Sharing Plan.*
 - *Applying Security Practices to Justice Information Sharing.*
 - *Privacy and Information Quality Policy Development for the Justice Decision Maker.*
 - *A Framework for Justice Information Sharing: Service-Oriented Architecture (SOA).*
 - b. Meeting announcements, minutes, and presentations of the GAC and Global working group meetings and activities.
3. Justice Standards Clearinghouse.¹⁷
4. GJXDM—Extensive development activity continues on the GJXDM section of the OJP IT Web site in an endeavor to provide a more comprehensive, interactive resource for the GJXDM product. This component of the Web site was completely restructured, with more intuitive and user-friendly navigation guided by new and reorganized topics,¹⁸ and links to the new **National Information Sharing Standards Help Desk**. On August 1, 2005, DOJ's OJP and GTTAC deployed the new GJXDM National Information Sharing Standards Help Desk, which includes a knowledgebase and live technical support. This new interactive resource provides an enhanced level of help to individuals and agencies implementing the GJXDM and the NIEM. The Help Desk is additionally supported by the IJIS Institute; SEARCH, The National Consortium for Justice Information and Statistics; NCSC; and GTRI.
5. NIEM—A Web site was established in support of this collaborative DOJ/DHS effort. While the site has its own URL (<http://www.niem.gov>), access is transparent through the OJP/Global Web site. The NIEM site contains background material, postings of standards versions, tools, and the latest related news.

PARTICIPATION IN RELATED EFFORTS

In 2005, DOJ, through GAC, offered assistance to groups and advised on issues including:

- Intelligence-related issues—Members of the GIWG and CICC are criminal justice practitioners with expertise in law enforcement, intelligence, training, homeland security, and other relevant areas. They were frequently requested to participate in state, national, and federal initiatives as representatives of local, state, and tribal law enforcement. Examples include:
 1. Assisting with the Intelligence Reform and Terrorism Prevention Act of 2004 by providing full-time local and state representatives to serve as the focal point for coordination of all DHS/DOJ activities related to the provision of local and state law enforcement input into the Implementation Plan and development of an Information Sharing Environment (ISE).
 2. Attending monthly Justice Intelligence Coordinating Council (JICC) meetings to assist DOJ with obtaining local law enforcement input and feedback on JICC-sponsored activities and requests for information.
 3. Collaborating with the National Institute of Justice (NIJ) on the Comprehensive Regional Information Sharing Project (CRISP) for development of a report on intelligence/information sharing capabilities.
 4. Participating in events such as the I-95 Corridor Intelligence Meeting (May), FBI/Criminal Justice Information Services (CJIS) Advisory Policy Board Meeting (June), and State Intelligence Fusion Center Development Conference (December).

- The GJXDM Training and Technical Assistance Committee—GTTAC was established in January 2004 by BJA in response to the justice community's need to better understand and implement GJXDM. GAC member agencies contribute to this enterprise through the donation of their time, expertise, and technical assistance resources. However, it should be noted that GTTAC is related to, but *external* from, Global and is its own operating entity on behalf of GJXDM. GTTAC member organizations include GTRI; GXSTF; IJIS Institute; the International Association of Chiefs of Police's (IACP) Law Enforcement Information Technology Standards Council (LEITSC); Nlets—The International Justice and Public Safety Information Sharing Network; NCSC; National Law Enforcement and Corrections Technology Center; and SEARCH, The National Consortium for Justice Information and Statistics. Leadership of GTTAC is assumed on a rotating basis.

With support and guidance from BJA and the DFO, GTTAC provides an efficient and effective delivery of a wide range of services and resources to meet the needs of the field, coordinating the work of national service providers to provide GJXDM (and, in the future, NIEM) training and technical assistance. In 2005, this training and technical assistance crystallized in the well-received **GJXDM Developer's Workshops**, a training series for developers and practitioners. Three workshops were held in 2005—March 1–3 in Arlington, Virginia; March 30–April 1, in Golden, Colorado; and July 18–22 in Anchorage, Alaska—training hundreds of justice practitioners to build GJXDM applications correctly and effectively. The workshop, which continues to be available, provides 15 hours of training, presented over three days. It features hands-on exercises and experienced presenters with topics that include fundamentals of the GJXDM, external enumerations, constraints, extension and substitution, relationships, subschema generator tools, and best practices. Additionally, February 28, 2005, saw the convening of the inaugural GJXDM Executive Briefing, a one-day standards overview course geared toward policymakers and nontechnical justice executives. The meeting was held in Arlington, Virginia.

The GJXDM training culminated in the **First Annual GJXDM User's Conference**, held June 8–10 in Atlanta, Georgia. This successful event was the result of a GTTAC/SEARCH, The National Consortium for Justice Information and Statistics partnership, and focused on GJXDM implementation and associated tools and techniques needed to enable justice information sharing. Over 250 justice-interested professionals attended; plans are currently under way for next year's event.

In support of these GTTAC endeavors, GJXDM Online Training Materials¹⁹ continue to be designed and updated by GTTAC members for the developer's workshops, executive briefings, and ad hoc events (for example, the annual conferences). The cache of these resources (housed on the Global Web site) are a wealth of educational material, providing access to the workshop presentation slides, streaming video segments, answers to participant questions, program agenda, speaker information, technical documentation, practical exercises, and suggested solutions to in-class exercises.

- On November 1–3, in Phoenix, Arizona, **BJA sponsored a Privacy Technology Focus Group**, jointly hosted by the Global Initiative and IJIS Institute. The event convened a group of public and private sector specialists to focus specifically on privacy technology (as opposed to privacy policy). These invitation-only participants were charged with examining the use and exchange of personally identifiable information (PII) in the context of justice information systems and in the dissemination and aggregation of justice and public safety data and with identifying existing and emerging technologies to support justice-related privacy policies.

Focus group members:

1. Identified what they considered to be the most important issues in privacy policy and technology.
2. Narrowed the focus to areas that could be adequately addressed in the given time frame. These areas were:
 - a. Access and Authentication
 - b. Data Aggregation and Dissemination
 - c. Identity Theft
 - d. Personal Safety and Protection
3. Outlined tangible, targeted technology solutions for the above issues.
4. Developed specific recommendations for action.

The resulting recommendations as well as background information about the event will be produced in a report to BJA. Likely, issues raised during the focus group will have implications for future Global activities.

- In the interest of leveraging existing resources, Global is frequently called upon to provide assistance and expertise to complementary efforts/justice-interested agencies, including:
 1. Law Enforcement National Data Exchange (N-DEx) Project.²⁰
 2. LEITSC.²¹
 3. IACP Law Enforcement Information Management (LEIM) Training Conference.²²
 4. IJIS Institute.²³
 5. National Association of State Chief Information Officers (NASCIO).²⁴

6. National Criminal Justice Association (NCJA).²⁵
7. NGA.²⁶
8. SEARCH's JIEM²⁷ Project.
9. DOJ's Law Enforcement Information Sharing (LEIS)²⁸ Strategy.
10. DHS.²⁹
 - a. DHS SAFECOM Program³⁰

GLOBAL LEADERSHIP AND STRATEGIC PLANNING

In 2005, to best address the evolving nature of the justice IT landscape and define the role of the GAC, the GESC convened executive planning sessions with the DFO and other DOJ representatives to discuss how Global can best serve the needs of the U.S. Attorney General. Participants forecast recommended future activities for both the working groups and full GAC. The GESC convenes before and after the spring and fall GAC meetings, holds two additional face-to-face meetings (during the summer and winter), and conducts business via conference calls and e-mail, as necessary.

GLOBAL ADVISORY COMMITTEE 2006: FUTURE ACTIVITIES

In 2006, DOJ will continue to pursue its goals and objectives with support from the GAC by building on its working groups' achievements, leveraging existing resources, and continuing to help engage the entire justice community in the information sharing dialogue. Global recommendations are important for justice information sharing across all disciplines, at all levels of government.

The GAC is charged with advising and providing recommendations to the U.S. Attorney General on advancing the use of technology, standards, and collaboration between agencies/organizations to ensure consistent policies and business rules and the continued successful pursuit of broadscale justice-related information sharing.

In January 2006, in support of this charge, members of the GESC identified key areas for Global resource allocation, associated tasks, and deliverables. GAC leaders proposed these recommendations to DOJ officials and look forward to advisement and prioritization of the tasks. The following activities were selected to further the Global Initiative mission and, just as importantly, to advance the goals, objectives, and philosophies of DOJ.

GLOBAL INFRASTRUCTURE/STANDARDS WORKING GROUP (GISWG) PRIORITIES

The priorities of the GISWG support the creation of a Justice Reference Architecture (JRA), the overall information sharing framework envisioned by Global. At a very high level, the JRA consists of standards (such as the GJXDM and NIEM, services, registries, and policies). The following GISWG and Global XML Structure Task Force (GXSTF) priorities for 2006 address these JRA components:

1. Support the development of a JRA Implementation Road Map.
2. Support the development of JRA Implementation Strategies/Scenarios.
3. Support the development of JRA Governance Requirements.

- a. These requirements will address issues such as mechanisms for change management and ownership of Information Exchange Package Documentation (IEPD).

GLOBAL XML STRUCTURE TASK FORCE (GXSTF) PRIORITIES

GESC members propose that the GXSTF focus on the following priorities in 2006:

1. Rearchitect the GJXDM into components. This will:
 - a. Facilitate compatibility with NIEM.
 - b. Address issues of data relationships and activities.
2. Identify a low-risk migration strategy from the GJXDM to the NIEM and conduct an associated educational campaign to assuage practitioners' fears regarding the conversion.
 - a. An associated GXSTF deliverable will be GJXDM-to-NIEM outreach materials.

GJXDM TRAINING AND TECHNICAL ASSISTANCE COMMITTEE (GTTAC) PRIORITIES

GESC members propose that the GTTAC focus on the following priorities in 2006:

1. Support recommendations on Messaging Standards Strategy.
2. Oversee production of an Executive Briefing PowerPoint on GTTAC-related issues.
3. Support federated registry pilot(s).
4. Facilitate recommendations on IEPD Inconsistency Problem.

GLOBAL SECURITY WORKING GROUP (GSWG) PRIORITIES

GESC members propose that the GSWG focus on the following priorities in 2006:

1. Facilitating the development of a security reference architecture for the justice community that includes support for the JRA. This will involve high-priority supporting tasks, including:
 - a. Documenting a security framework in support of the NCISP.
 - b. Defining security requirements for the JRA.
 - c. Recommending a protocol for a memorandum of understanding for overall security framework.
2. Supporting the development of a federated identity and privilege management recommendation as a justice-specific standard within the security architecture framework, including developing and piloting trusted credentials (a.k.a. Common Usage Profile). This will involve high-priority supporting tasks, including:
 - a. Developing a Common Usage Profile proposed draft specification.
 - b. Recommending an Identity Management Model.

GLOBAL INTELLIGENCE WORKING GROUP (GIWG) AND CRIMINAL INTELLIGENCE COORDINATING COUNCIL (CICC) PRIORITIES

GESC members propose that the GIWG and CICC focus on the following priorities in 2006:

1. Facilitation of a National Information Sharing Strategy (NISS) that provides specificity to the national information sharing environment and expands on the

tenets outlined in the NCISP. This involves leveraging existing systems and networks (such as fusion centers, Nlets, Regional Information Sharing Systems [RISS], Law Enforcement Online [LEO], Homeland Security Information Network [HSIN]) and identifying best practices, through surveys, to gain understanding of the types of information available and with whom they communicate and share information.

2. Facilitation of the *Fusion Center Guidelines* next steps/recommendations regarding the ongoing daily operations of fusion centers. This issue is the next logical step to effective sharing of information/intelligence within and among fusion centers. This proposal builds upon the *Fusion Center Guidelines—Law Enforcement, Public Safety, and the Private Sector*, as well as the tenets of the NCISP.
3. Integration of the NCISP into national and state law enforcement accreditation standards by first analyzing the current Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA), law enforcement accreditation standards and state-specific law enforcement accreditation standards. This analysis will identify the law enforcement accreditation standards that incorporate the recommendations specified in the NCISP and propose avenues on integrating the NCISP recommendations, which are not currently represented, into the CALEA and state accreditation standards. The end result is expected to be an integration of the NCISP recommendations into the CALEA standards to further the tenets and promote institutionalization of the NCISP.
4. Review of 28 Code of Federal Regulations (CFR) Part 23 to determine whether any updates and/or revisions should be developed for submittal to DOJ. There have been numerous discussions about 28 CFR Part 23 and whether it continues to meet the needs of local and state agencies. 28 CFR Part 23 predates September 11, 2001, and since this time, intelligence systems have evolved and have been enhanced. There is a concern that the current regulation does not meet the needs of the current process.
5. Recommendations on a national policy on Sensitive But Unclassified (SBU) information for local, state, and federal users. These recommendations would clearly define appropriate uses and dissemination protocols, while respecting originator authority and facilitating the broadest possible dissemination to those with a need to know.
6. Recommendations on Justice Information Gathering Practices in Immigrant Communities modeled on Community-Oriented Policing principles. These recommendations must take into account cultural complexities surrounding this effort and will require participation by other agencies, such as DHS, the National Institute of Justice, and the COPS Office.

This effort will best be addressed by a two-tiered approach:

- a. Institutionalization of model practices to engender trust in immigrant communities.
- b. Recommendation of related law enforcement training guidelines.

GLOBAL PRIVACY AND INFORMATION QUALITY WORKING GROUP (GPIQWG) PRIORITIES

GESC members propose that the GPIQWG focus on information quality-related priorities in 2006. The scope of these specific efforts will be defined through two major activities:

1. At the next GPIQWG meeting, guest presenters will assist GPIQWG members in exploring information quality issues. Related activities will include:
 - a. Securing subject-matter experts to help frame the issues.
 - b. Determining specific goals and objectives related to information quality.
 - c. As a result of the above dialogue, determining anticipated deliverables, timelines, and other working group plans.
2. In addition to subject-matter expertise provided at the next meeting, GPIQWG priorities will be significantly informed by BJA and OJP guidance on and reaction to the suite of recommendations generated by the BJA-sponsored Privacy Technology Focus Group meeting held in November 2005. These recommendations address the subject matters of Access and Authentication, Data Aggregation and Dissemination, Identity Theft, and Personal Safety and Protection. They are included as **Appendix A**. In consultation with BJA, OJP, and other Global working group chairs, GPIQWG leaders will determine which of these recommendations should be addressed by the GAC and in what order. Additionally, there is a likelihood that the Privacy Technology Focus Group may continue in some form and facilitation of that group may fall under the purview of GPIQWG.

SPECIAL TOPICS: GESC PRIORITIES

In addition, the GESC prioritizes the following issues for program office consideration of 2006 Global resource allocation.

1. Disaster Preparedness and Recovery. Global leaders look forward to providing recommendations on local, state, tribal, and regional justice agency preparedness for catastrophes—natural or man-made—and mitigation strategies in the aftermath. This priority will supplement—not duplicate—complementary efforts, such as activities by DHS and the Federal Emergency Management Agency, and success will be incumbent on building partnerships in those communities to leverage existing resources and expertise.
2. Institutionalization of Governance Issues.
3. Promoting Executive-Level Education in Key Areas.
4. Supporting the Office of the Director of National Intelligence in the Information Sharing Environment.

PARTNERSHIPS: IT INITIATIVES

DOJ looks forward to the ongoing support of GAC in integration activities. BJA has contributed greatly to the field by supporting the development of standards processes, privacy policy, information architecture, and outreach vehicles (e.g., OJP IT Initiatives Web site).

FACILITATING FULL PARTICIPATION FOR ALL DISCIPLINES

To reach the full information sharing capability envisioned by DOJ, all disciplines involved in justice-related efforts—including public safety constituencies—must employ information technology among their members. Historically, some disciplines and communities have had difficulties in obtaining resources to acquire and implement appropriate information systems; for example, probation, parole, public defense, pretrial services, and Indian Country agencies. While not detracting in any way from other efforts, attention should be given to identifying and addressing the technological needs of these disciplines (and others) to enable them to be full participants in broadscale justice information sharing.

To continue capitalizing on the ideals of inclusiveness and strength through diversity, as an ongoing task, committee members will scan the justice and public safety landscapes for unrepresented or underrepresented constituencies. When necessary, additional organizations will be nominated through BJA for GAC membership. In 2005, following all applicable tenets of the *Global Bylaws*, the Criminal Intelligence Coordinating Council (CICC)³¹ was added as a GAC member agency as well as extended a seat for its chairman on the GESG.

CONCLUSION

USING INFORMATION TO SECURE THE HOMELAND: BETTER, MORE EFFICIENT, MORE SECURE BUSINESS PRACTICES FOR ADDRESSING NATIONAL CRISES AND DAY-TO-DAY OPERATIONS

Along with the national emphasis on homeland security, citizens are anxious for justice and public safety personnel to quickly share vital information, both across town and across America, to protect the public. So, too, the Administration has shifted attention and resources to establish information exchange as a key foundation in the war on terrorism. In this endeavor, DOJ, through the GAC, provides a valuable resource, particularly in light of fundamental efforts accomplished well in advance of pivotal national events.

DOJ has long realized that justice information sharing, above and beyond today's crisis, is a national imperative. In fact, every agency involved in the apprehension, adjudication, and incarceration of offenders requires information from other justice entities *on a daily basis* to do its job. Furthermore, entities outside of the justice community—including schools, child care services, transportation, and licensing agencies—need this capability to perform routine business activities, such as hiring new personnel, approving gun purchases, or granting professional licenses.

While today's sense of urgency—evidenced by increased public and governmental interest—may be a harbinger of the support necessary to make broadscale justice and public safety information sharing a reality, technical, programmatic, and policy issues still must be addressed within a community of shared interests. DOJ has created that community of shared interests through the GAC.

Looking ahead, DOJ is eager to use the combined expertise of GAC to support the U.S. Attorney General, DHS, local and state governments, and practitioners across the nation in pursuing public safety and homeland security through the powerful currency of timely, accurate, complete, and accessible information shared in a secure and trusted environment.

ENDNOTES

- ¹ For historical reference purposes, it should be noted the initiative was established under the title “**Global Justice Information Network.**” In fall 2002, per Federal Advisory Committee Act (FACA) term guidelines, the U.S. Attorney General reviewed and reauthorized the Global Initiative for a succeeding two-year term. As part of this reauthorization process, the project underwent a name change, from the “Global Justice Information **Network**” to the “Global Justice Information **Sharing Initiative**” (emphasis added). This is to more adequately represent the goals of DOJ and to dispel any connotation mistakenly associating Global with the development of a physical “supernetwork.”
- ² XML is the commonplace acronym for Extensible Markup Language and is used as such throughout this report.
- ³ Previously the Justice Standards Registry or JSR.
- ⁴ GIWG was established in fall 2002.
- ⁵ According to *Global Bylaws*: “With the input of GAC and the DFO, the GAC chair will establish working groups, which may include noncommittee representatives, to provide oversight for a specific research area.”
- ⁶ Available at http://it.ojp.gov/topic.jsp?topic_id=57.
- ⁷ Located at <http://it.ojp.gov/>.
- ⁸ More information about the JIEM tool is available at www.search.org/programs/info/jiem.asp.
- ⁹ The XML Reconciliation Effort began in 2001 with representatives from the Joint Task Force Rap Sheet Standardization Project, LegalXML Court Filing Standard Initiative, and the Regional Information Sharing Systems[®] XML Data Exchange Specification. In December 2001, the American Association of Motor Vehicle Administrators (AAMVA) joined the effort.
- ¹⁰ The GJXDM listserv is an electronic forum created for the purpose of developing and broadening the community of Justice XML expertise and support for the application of the GJXDM elements and promotes the exchange of ideas and experiences associated with the Model.
- ¹¹ This comprehensive overview CD (GJXDM Overview CD, Edition 1) was developed in 2004 and contains both an interactive video presentation, as well as a browser-style content section that features an expansive collection of topics: Introduction, History, Tools, Guidelines, Examples and Implementations, Supporting Technical Documentation, Training, and Help and Peer Assistance. This resource is available at <http://it.ojp.gov/jxdm/jxdmcd/splash.swf>; high bandwidth is required.
- ¹² Available at http://it.ojp.gov/documents/200411_global_privacy_document.pdf.
- ¹³ Version 2 of *Applying Security Practices to Justice Information Sharing* was presented at the April 2004 GAC meeting.
- ¹⁴ Available at <http://it.ojp.gov/documents/asp/> and in CD and hard-copy formats.
- ¹⁵ This document is not intended to suggest a standard security approach, nor is it intended to provide an in-depth security solution for any particular system. It is also not intended to provide detailed technical reference for system administrators.
- ¹⁶ Disciplines include Governance; Physical Security; Personnel Security Screening; Separation of Duties; Identification and Authentication; Authorization and Access Control; Data Integrity; Data Classification; Change Management; Public Access, Privacy, and Confidentiality; Firewalls, Virtual Private Networks (VPNs), and Other Network Safeguards; Intrusion Detection Systems; Critical Incident Response; Security Auditing; and Disaster Recovery and Business Continuity.
- ¹⁷ Standards in the following areas of interest are featured: architectural, data exchange languages, data representation, data storage and interfacing, data transport, functional standards, security, technology standards, and XML schemas (including the Amber Alert schema).
- ¹⁸ Reorganized GJXDM topics include current release, advisory bodies, tools, help, implementation guidelines, organizations utilizing the GJXDM, GJXDM listserv, training and events, technical documentation, supporting resources, history and historical documentation, and contact information.
- ¹⁹ These materials are available online and without charge at www.it.ojp.gov/topic.jsp?topic_id=155.
- ²⁰ The N-DEx System, being developed under FBI leadership, is an incident- and event-based information sharing system for local, state, tribal, and federal law enforcement agencies that securely collects and processes crime data in support of investigations, crime analysis, law enforcement administration, strategic and tactical operations, and national security.
- ²¹ LEITSC, funded through OJP, fosters the growth of strategic planning and implementation of integrated justice systems by promoting the merits of IT standards, providing advice to the nation’s law enforcement community on technical aspects of IT standards, sharing practical solutions, and representing the voice of law enforcement in the expansion of justice and public safety IT standards. To those ends, JSC, NCISP, and GJXDM make significant contributions. More information on LEITSC is available at www.leitsc.org/.
- ²² The IACP LEIM conference provides an opportunity to learn more about contemporary information management technologies and initiatives. In addition to hands-on demonstrations, topics on the agenda include mobile computing, information security and intrusion detection, evaluation of information technology, strategic planning for law enforcement information systems, technology funding, grant

- management, and wireless communications integration and interoperability. In 2005, Global provided resource materials, support, and expertise to the program.
- ²³ DOJ fully acknowledges the imperative of including private industry in the justice information sharing dialogue. To this end, the IJIS Institute is a trusted Global partner. More information on the IJIS Institute is available at www.ijisinstitute.org.
- ²⁴ NASCIO represents state chief information officers and information resource executives and managers from the 50 states, 6 U.S. territories, and the District of Columbia. NASCIO fosters government excellence through quality business practices, information management, and technology policy. NASCIO's vision is a government in which the public trust is fully served through the efficient and effective use of technology. More information on NASCIO is available at www.nascio.org/.
- ²⁵ NCJA exists to promote the development of effective and efficient justice systems in states, tribal nations, and units of local government that enhance public safety; prevent and reduce the harmful effects of criminal and delinquent behavior on victims, individuals, and communities; and adjudicate defendants and sanction offenders fairly and justly. In 2004, DOJ provided resource materials, support, and expertise to the NCJA "Road Map for Information Sharing" series and NCJA National Forum 2004. More information on NCJA is available at www.ncja.org.
- ²⁶ The NGA Center for Best Practices (www.nga.org/center/) supports the BJA-sponsored Justice IT Integration Project States Initiative. During 2003–2004, NGA conducted a series of regional workshops to assist participating state teams in their strategic IT development and implementation plans. Global provided resource materials, support, and expertise to this series.
- ²⁷ The new version of the JIEM Modeling Tool has been designed with interface to the GJXDM. For information on the JIEM Project, please see www.search.org/integration/info_exchange.asp.
- ²⁸ The DOJ LEIS Strategy is designed to make law enforcement information more widely available to authorized agency officials, improve information sharing capabilities (among DOJ law enforcement components and between DOJ and its law enforcement partners), and coordinate information sharing projects across DOJ and with law enforcement partner agencies. Select Global and working group representatives have made significant contributions to this effort.
- ²⁹ In the *National Strategy for Homeland Security* "Executive Summary" (page vii)—one of the formative documents of DHS—the four foundations—(1) law, (2) science and technology, (3) **information sharing and systems**, and (4) international cooperation—were designated as "unique American strengths that cut across all . . . levels of government" and are essential to homeland security (**emphasis added**). GAC continues to support DHS by strengthening the key foundation of information sharing and systems. The NIEM Project is a joint project of DHS and DOJ that uses core elements of GJXDM to facilitate information sharing. This project was initiated in early 2005.
- ³⁰ Discussed previously in this report.
- ³¹ The *National Criminal Intelligence Sharing Plan* expressly recognizes the importance of local, state, and tribal law enforcement agencies as a key ingredient in the nation's intelligence process and called for the creation of the CICC to establish the link needed to improve intelligence and information sharing among all levels of government. Composed of members from law enforcement agencies at all levels of government, the CICC was formally established in May 2004 to provide advice in connection with the implementation and refinement of the NCISP. Members of the CICC serve as advocates for local law enforcement and support their efforts to develop and share criminal intelligence for the purpose of promoting public safety and securing our nation. The CICC provides advice and counsel to (and select overlapping membership with) the GIWG.

APPENDIX A

POSITIVE IDENTIFICATION, AUTHENTICATION, AND ACCESS

1. Develop standard elements/components for interoperability (suggested outline contained in report).
2. Commission appropriate ad hoc entity(ies) of public and private policy experts and/or technologists to define technical requirements associated with the Federated Identity (ID) Management and Service-Oriented Architecture (SOA).
3. Create an inventory of Federated ID Management technologies, and conduct a privacy-related architectural gap analysis to determine whether additional technologies should be used.
4. Create appropriate privacy metadata (e.g., reliability, sensitivity, use limitations, and personally identifiable information) in the GJXDM.
5. Create a matrix defining roles and associated services to serve as a model to develop business rules and standards related to data content and messaging architectures.
6. Commission further work to properly identify supporting technologies related to Federated ID Management and SOA and their impact on privacy.
7. Appoint a cross-skilled team (policymakers/practitioners/technologists from public and private sectors) to evaluate and revise the Fair Information Practices (FIPs) as they relate to specific justice circumstances and technologies.

DATA AGGREGATION

1. Prepare a white paper on data anonymization and its value for privacy protection. Note: Anonymization is not synonymous with anonymous.
2. Develop a strategic plan for use of anonymization in justice, public safety, and homeland security efforts to protect privacy while enhancing information sharing.
3. Request that the Global Justice Information Sharing Initiative support the development of standards for audit functions.
4. Request that the National Institute of Justice conduct a research project on the maturity and applicability of immutable audit capabilities.
5. Assemble (or use existing) groups to identify privacy-related metadata and its links to business rules.
6. Determine mechanisms to ensure persistence of metadata throughout transfer, aggregation, and dissemination of data. Refer to the GXSTF to build into GJXDM.

IDENTIFY THEFT

1. Identify best practices that ensure data quality is a priority throughout near-term and long-term business processes and technology solutions.
2. Establish a grant condition requiring applicants/grantees to address identity management in plans and outcomes for programs and systems development supported by national funding.
3. Through funding, training, and technical assistance, encourage local, county, state, and regional agencies to move towards foundational components, such as open data standards (GJXDM and NIEM) and baseline definition of ID data elements.
4. Through funding, training, and technical assistance, encourage local, county, state, and regional agencies to categorize data within existing and/or new systems.
5. Through funding, training, and technical assistance, encourage local, county, state, and regional agencies to develop and undertake projects related to strong authentication and identification of the user.
6. Develop enforceable policies and practices (such as audit logs) that appropriately respond to potential systems misuse.
7. Form a task force to evaluate how personally identifiable information is and should be treated. (Reference Privacy Policy Development Guide C-9.)



U.S. DEPARTMENT OF JUSTICE GLOBAL ADVISORY COMMITTEE MEMBERSHIP

Administrative Office of the United States Courts
American Association of Motor Vehicle Administrators
American Correctional Association
American Probation and Parole Association
Association of State Correctional Administrators
Conference of State Court Administrators
Criminal Intelligence Coordinating Council
Criminal Justice Information Services (CJIS) Advisory Policy Board
Executive Office for United States Attorneys
Federal Bureau of Investigation
International Association of Chiefs of Police (IACP)
IACP—Division of State and Provincial Police
IACP—Indian Country Law Enforcement Section
INTERPOL—United States National Central Bureau
Major Cities Chiefs Association
National Association for Court Management
National Association of Attorneys General
National Association of State Chief Information Officers
National Center for State Courts
National Conference of State Legislatures
National Council of Juvenile and Family Court Judges
National Criminal Justice Association
National District Attorneys Association
National Governors Association
Nlets—The International Justice and Public Safety Information
Sharing Network
National Legal Aid & Defender Association
National Sheriffs' Association
SEARCH, The National Consortium for Justice Information and Statistics
U.S. Department of Homeland Security
U.S. Department of Justice—Justice Management Division
U.S. Drug Enforcement Administration

For more information
Policy Office

Office of Justice Programs
U.S. Department of Justice
Eighth Floor
810 Seventh Street, NW
Washington, DC 20531
Phone: 202.616.0532
Fax: 202.305.9075
E-mail: it@ojp.gov

