

Example of application funded under the following solicitation:

FY 2009 National Justice Information Sharing (JIS) Initiative

Applicant: SEARCH Group Inc

APPLICATION FOR

		2. DATE SUBMITTED 06/24/2009	APPLICATION IDENTIFIER
1. TYPE OF SUBMISSION Application Non-Construction		3. DATE RECEIVED BY STATE	STATE APPLICATION IDENTIFIER
		4. DATE RECEIVED BY FEDERAL AGENCY	FEDERAL IDENTIFIER
5. APPLICANT INFORMATION			
Legal Name SEARCH Group Inc		Organizational Unit Programs Division	
Address (city, state, and zip code) 7311 Greenhaven Drive Suite 145 Sacramento, California 95831-3586		Name and telephone number of the person to be contacted on matters involving this application Ronald Hawley (916) 392-2550	
6. EMPLOYER IDENTIFICATION NUMBER (EIN)		7. TYPE OF APPLICANT Non-profit	
8. TYPE OF APPLICATION New		9. NAME OF FEDERAL AGENCY Bureau of Justice Assistance	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE Number: 16.751 CFDA Title: 16.751 & 16.738 National Initiatives		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT SEARCH/NCSC Response to BJA National JIS Initiative/Category VIII	
12. AREAS AFFECTED BY PROJECT US All			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICT(S) OF	
Start Date: 11/01/2009	Ending Date: 10/31/2010	a. Applicant CA03	b. Project CA03
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$597,923	Program is not covered by E.O. 12372	
b. Applicant	\$0		
c. State	\$0		
d. Local	\$0		
e. Other	\$0		
f. Program Income	\$0	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
g. Total	\$597,923	N	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS REQUIRED.			
a. Typed Name of Authorized Representative Ron Hawley		b. Title Executive Director	c. Telephone number (916) 392-2550
d. Signature of Authorized Representative		e. Date Signed	

Attachment 1: Program Abstract

Category VIII: Global Justice Reference Architecture Implementation

Scope: National (as defined in the solicitation, page 3)

Amount of Federal funding requested: \$597,923

This project is a partnership of SEARCH, The National Consortium for Justice Information and Statistics, and the National Center for State Courts, which have together led the development of the Global Justice Reference Architecture (JRA) on behalf of Global and the Bureau of Justice Assistance since 2004. As development of the JRA concludes, it is appropriate to undertake this project, the goal of which is to improve the efficiency and effectiveness of justice information sharing through implementation of the JRA in three jurisdictions nationwide.

To accomplish this goal, the partners will follow a strategy with the following elements:

- Selecting three jurisdictions through a national competitive solicitation that emphasizes local commitment to service-oriented architecture and readiness to implement the JRA.
- Providing hands-on guidance and technical assistance to the selected jurisdictions on planning and implementing the JRA, all the way to working information exchanges.
- Documenting lessons learned and sharing with BJA, other implementing jurisdictions, and Global workgroups for further enhancement of the JRA.

Deliverables will include: a successful solicitation for the pilot jurisdictions; an implementers workshop and project kickoff meeting for the pilot participants; two on-site technical assistance engagements with each pilot jurisdiction; in-house (telephone/email/web) technical assistance engagements; JRA-conformant artifacts (standards, guidelines, services, models) in each jurisdiction; a report outlining lessons learned from the pilots; and presentation of project results in person at two meetings or conferences.

Attachment 2: Program Narrative

Statement of the Problem

Service-oriented architecture (SOA) is a valuable tool that has proven effective at accelerating justice integration efforts, while providing a framework for conforming to justice community and technology industry standards. The Global Justice Information Sharing Initiative (Global) established a vision for SOA in the justice community in 2004, recommending that practitioners nationwide adopt it as guidance on how to implement information sharing projects. Since then, the Bureau of Justice Assistance (BJA) and Global have invested substantially in building a toolkit—the Global Justice Reference Architecture (JRA)—to enable practitioners to fulfill this vision. The Global JRA speeds SOA adoption by providing a “head start” to implementers in the form of standards, guidelines, processes, and technology recommendations that would require substantial resources and time for practitioners to develop on their own.

Despite the existence of the JRA, implementing SOA in the justice community is still a challenge. SEARCH, the National Center for State Courts (NCSC), and others have led successful JRA implementation projects in a few jurisdictions, but the JRA is still relatively new and the national community has only those few implementations to use as demonstrations of how to leverage the JRA. The resulting problem is three-fold: (1) practitioners may perceive more risk in adopting the JRA because there are fewer demonstrated successes; (2) practitioners have fewer examples to use as the foundation for their own implementations—for example, there are fewer reusable service specifications that they can leverage; and (3) BJA and Global have fewer implementations to generate feedback on and validation of the JRA itself. Addressing this problem is the principal goal of the proposed project.

Project Design and Implementation

To address this problem, SEARCH and NCSC propose the following strategy.

Phase I: Initiation

The **Initiation** project phase will establish the implementation jurisdictions and prepare them for a successful JRA implementation. Specific activities will include:

- Drafting a solicitation for jurisdictions to participate. The solicitation will seek to attract implementation sites with adequate background, maturity, governance, and commitment to ensure a successful, impactful implementation.
- SEARCH and NCSC will subgrant \$80,000 to each jurisdiction to support the implementation; in its response, each jurisdiction will detail the full scope of its implementation and how it will cover additional costs.
- SEARCH and NCSC, with participation from BJA, will review responses and select up to three implementing jurisdictions.
- SEARCH and NCSC will host a JRA implementation workshop for the three successful jurisdictions. The purpose of this three-day meeting would be to “level-set” on the JRA; what an implementation should accomplish; how to deal with governance, project management, infrastructure, and technology issues; to plan technical assistance activities; and to build relationships among the implementing jurisdictions.

The solicitation, workshop, and subsequent activities will emphasize the integration of JRA implementations with the National Information Exchange Model (NIEM) and Global Federated Identity and Privilege Management (GFIPM) initiatives. In particular, NIEM will be used to form the information model of each implemented service (in alignment with JRA guidance), and GFIPM standards will be used to satisfy sharing of user credentials and attributes across services.

Phase II: Architecture Development

A key element to solving the problem described above is ensuring that local justice partnerships establish an architecture to help govern their information sharing initiatives. The JRA accelerates this process by providing off-the-shelf versions of the necessary guidelines, standards, and policy documents. But every jurisdiction has local requirements that require tailoring of the artifacts prior to their adoption as jurisdictional standards for information sharing. And once the architectural standards are in place, the partners must follow the processes in the architecture to translate business objectives into services and automated information flows. Together, these service definitions and information flow models form the foundation that supports subsequent (Phase III) implementation activities.

The **Architecture Development** project phase will ensure that each implementing jurisdiction establishes a JRA-conformant architecture. In so doing, each jurisdiction will tailor the JRA artifacts to address local needs, and will leverage local governance mechanisms to adopt the tailored artifacts as local policy. In addition, each jurisdiction will apply the JRA Service Identification and Design Guidelines to analyze business drivers and capabilities related to the problem their project is intended to solve. This analysis will result in the identification and specification of services representing the flow of information between agency systems.

SEARCH (lead role) and NCSC (supporting role) will facilitate these implementations by:

- Providing one (1) on-site technical assistance engagement in each jurisdiction to facilitate meetings for tailoring JRA artifacts, identifying services and service interactions (information exchanges), and building service specifications
- Providing up to four (4) in-house (remote) technical assistance engagements in each jurisdiction, for focused help with artifact development, service identification, and

service specification

- Reviewing all artifacts for JRA and NIEM conformance.

By the end of Phase II, each jurisdiction will have a JRA-conformant architecture in place, with all project services and information flow models defined and ready for implementation.

Phase III: Architecture Implementation

The purpose of the **Architecture Implementation** project phase is to turn the models and specifications of Phase II into working information exchanges and automated business processes. Because SOA approaches like the JRA are fundamentally business-driven, seemingly limited projects like individual JRA services actually require a significant commitment to organizational change. Agency leaders must reimagine the approach to their business as a collection of loosely coupled services and work with their technology staff to create an infrastructure and technology skill set that adequately supports that new way of doing business.

Further, it is not enough that one agency make this commitment on its own. Its other sending and receiving agencies must make similar commitments—at least on an infrastructure level. Finally, support for aspects of the security and privacy infrastructure required by JRA services, such as federated identity services and privacy policy enforcement services, are by definition third-party cross-agency functions that must be created for the first time.

NCSC (lead role) and SEARCH (supporting role) will facilitate Phase III through the following activities:

- Reviewing current infrastructure in each jurisdiction to determine an infrastructure plan
- Reviewing existing agency systems (capabilities) that will participate in the implementation and determine technology and approach for “service-enabling” those systems

- Establishing infrastructure to support privacy policy implementation and enable GFIPM
- Providing one (1) on-site technical assistance engagement and up to four (4) in-house (remote) engagements in each jurisdiction to resolve implementation issues.

By the end of Phase III, each jurisdiction will have information flowing electronically between agency systems, facilitating the automated business processes identified in Phase II.

Phase IV: Outreach and Evaluation

The purpose of the **Outreach and Evaluation** project phase is to document the results and outcomes of the project, communicate those results to appropriate stakeholders, and provide feedback from the implementations to BJA, the Global Infrastructure/Standards Working Group (GISWG), the Global Services Task Team (STT), and other groups as necessary. Specifically during this phase, SEARCH and NCSC (co-leads) will:

- Collaborate with leaders in each implementation jurisdiction to draft reports on the implementation, to include goals, outcomes, technologies/approach used, challenges, and lessons learned. The reports will include a full evaluation of the program's effectiveness.
- Participate in two (2) Global workgroup meetings or other relevant meetings, for the purpose of presenting the results of the projects.

Much of the work of this phase will occur toward the end of the project, when the three implementations are nearing completion. However, earlier in the project, SEARCH and NCSC will work with leaders of other national architecture efforts, such as the Program Manager for the Information Sharing Environment (PM-ISE), as well as other state and local architecture projects, to promote adoption of and alignment with the JRA. The partners will accomplish this through teleconferences, web meetings, and in-person meetings.

At the end of Phase IV, the BJA and stakeholders in the national community will have full

awareness of the project's accomplishments, the results of the three implementations, and an understanding of the potential for further improvement in the JRA. Other national and state/local architecture projects will have knowledge of the JRA and the implementation projects, and will therefore be able to achieve more appropriate alignment with the JRA.

Capabilities/Competencies

The partners in this project—SEARCH and NCSC—have served as leaders of the JRA development effort within Global since its inception in 2004. NCSC and

of SEARCH have served, respectively, as chair of the GISWG and lead architect of the JRA. In these roles, these individuals have maintained a strategic vision for the JRA and led teams of SOA experts in the development of all JRA artifacts. NCSC and SEARCH have also led efforts to interface the JRA with other national standards and partner architecture efforts, such as NIEM, the Law Enforcement Exchange Specification (LEXS), the Enterprise Architecture Framework (EAF) of the PM-ISE, and GFIPM. SEARCH and NCSC staff are highly sought after as conference speakers and liaisons for enterprise architecture and information sharing standards groups at all levels of government.

NCSC and SEARCH have been among the leaders in implementing the JRA as well. In 2007–2008, SEARCH led the first two efforts to implement the JRA at a statewide level—in Maine and Hawaii. Each of those pioneering efforts was very similar to (and took a similar approach to) the project proposed here. Both projects have been successful in accelerating SOA adoption in those states and producing working information flows.

NCSC is working with the governance bodies for court technology to build SOA concepts and JRA requirements into its Court Technology Framework. All related projects, such as national reference information exchange package documentations (IEPD) and service definitions

or technical privacy implementations (Orange County, California) are now complying with the relevant parts of the JRA framework. More generally, NCSC frequently advises courts on technology and infrastructure strategies.

SEARCH, The National Consortium for Justice Information and Statistics

SEARCH is a nonprofit membership organization with 40 years of experience supporting the information sharing, interoperability, information technology, high-tech crime investigation, and criminal records systems needs of justice and public safety agencies and practitioners in all 50 states. In this time it has operated as a viable, financially sound corporation, and has administered justice programs through more than 200 grants, cooperative agreements, and contracts totaling more than \$89 million. Corporate oversight is provided by the SEARCH Membership Group, comprised of gubernatorial appointees from all 50 states, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands. Since 1976, SEARCH has conducted a national program of in-house and on-site technical assistance and training to state, local, and tribal justice and public safety agencies. Through its staff and with the direction of the SEARCH Membership Group, SEARCH provides justice and public safety agencies with diverse products, services, and resources in these areas.

The SEARCH Systems and Technology team will staff this project. This team has more than 40 years of combined experience planning, designing, implementing, acquiring, and measuring the effectiveness of technology in justice and public safety. This team currently serves on the principal Global and NIEM workgroups, and more than 10 years of combined experience delivering technical assistance to practitioners. The team is actively involved in all aspects of developing the JRA and leads the Global STT, which is developing reference service specifications based on the JRA.

The National Center for State Courts

NCSC has participated from the beginning in the Global Justice Information Sharing Initiative and its GISWG, which develops technical standards and created the JRA. NCSC staff chaired the GISWG for the last four years, co-chaired the NIEM Technical Advisory Committee, chairs the XML Structure Task Force (XSTF) for the justice domain of NIEM, and co-chaired for several years the Organization for the Advancement of Structured Information Standards (OASIS) technical committee that published the court electronic filing technical standard incorporating significant pieces of the JRA. NCSC manages the current Global STT project in partnership with SEARCH and the IJIS Institute. NCSC has a strong commitment both to the development of national justice technical standards and to the development and implementation of such standards in the court world. To that end, NCSC has worked with courts, other justice agencies, and several divisions of the U.S. Department of Health and Human Services to develop national reference IEPDs using the Global Justice XML Data Model (GJXDM) and NIEM. These projects involved the facilitation of numerous workshops and regional conferences.

NCSC also operates a strong professional education and training division, including online and video training. This division provides broad training to the court world and frequently develops products for other state and Federal justice agencies, including the new online NIEM training. NCSC also offers professional hosting services for online training in several formats. A key skill is curriculum and faculty development and certification, which NCSC has done for many years.

In all of these projects, SEARCH and NCSC have demonstrated an ability to collaborate with multiple agencies and jurisdictions across the justice space while facilitating the mutual support for necessary national standards and guidelines. This proposal is a good example of how these

organizations almost never work alone, but instead partner with other key organizations to build a broader and stronger team that will better serve the needs of justice practitioners. In both organizations' technical assistance programs, and in their roles in leading large, diverse national workgroups, they have demonstrated the ability to manage concurrent priority tasks effectively.

Management and Staffing

SEARCH will serve as the official project lead on this project, but the project is a joint application with shared responsibility and contributions between SEARCH and NCSC. The SEARCH Director of Systems and Technology, _____ will have overall responsibility for the successful completion of this project, working under the direction of the SEARCH Deputy Executive Director, and in close coordination with the NCSC project lead, _____ Vice President of Research and Technology. SEARCH and NCSC will devote staff from their respective organizations as required by project tasks; however, any staff assigned to this project will have substantial direct experience working on the JRA itself (via GISWG) and implementing JRA components in the field. In each project phase, regardless of the organization playing the lead role, subject matter experts from both SEARCH and NCSC will be actively involved in delivering products and services, to ensure that the broadest and deepest expertise is available to the implementing jurisdictions.

The partners will ensure that the management structure and personnel for this program will remain separate from other BJA-funded activities. Each partner's existing internal timekeeping and project management systems will track all expenses (including staff hours) by funding source, ensuring that percentage of time and salary are clear, reconcilable, and supported by proper documentation. Each partner has experience accounting for separate but simultaneous allocation of resources to multiple funding sources, including sources from BJA, and has

demonstrated through this experience the ability to document and reconcile separate activities. The project budget narrative indicates the expected percentage allocation of each staff person.

The partners plan a monthly status call with BJA to ensure awareness of progress, challenges, and project outcomes.

Impact/Outcomes and Evaluation/Measurement Plan

Two performance measures from the solicitation are relevant to this project. For Phase I, the partners will “increase the knowledge of criminal justice practitioners, through in-person training.” At the initiation workshop, the partners will administer pre- and post-tests that examine participants’ understanding of the JRA (deliverables, purpose, implementation strategies, etc.). Attendees will also be asked to complete an evaluation of the workshop. From the tests and evaluations, the partners will collect data to calculate the required measures: percentage of trainees successfully completing the workshop, percentage of those who completed the workshop rating it as satisfactory or better, and percentage of trainees whose test results indicate improved knowledge and understanding as a result of the workshop.

For Phases II, III, and IV, the partners will “increase a criminal justice agency’s ability to solve problems and/or modify policies or practices” through technical assistance and conference/meeting participation. The partners will administer evaluations following each technical assistance engagement to measure the percentage of recipients who rated the timeliness, quality, and effectiveness of the assistance as satisfactory or better. In addition, the partners will follow up 6 months after the technical assistance to document increased capability.

SEARCH and NCSC will fully support other BJA-required progress and performance reporting.

Personnel

The following is a breakdown of the positions and their costs for the 12-month grant period:

<i>Position</i>	<i>Annual Salary</i>	<i>% Time</i>	<i>Total</i>
<i>Total Personnel</i>			\$ 79,731

Personnel expenses are directly related to the provisioning of one (1) initiation workshop, six (6) technical assistance engagements, and two (2) workgroup meetings for the purpose of presenting project results to the appropriate stakeholders and feedback to BJA, Global, and other groups. These expenses provide for SEARCH staff with subject-matter expertise in the Global Justice Reference Architecture (JRA), expert technologists, and business strategists in national initiatives and publication development critical to the success of the program.

Travel

Travel costs are categorized into three major areas: Initiation Workshop, Technical Assistance, and Liaison/Outreach Meetings.

Initiation Workshop

An Initiation Workshop for implementing jurisdictions, to run three days, are planned for three SEARCH staff. This will establish the implementing jurisdictions and prepare them for a successful JRA implementation by “level-setting” (what an implementation should accomplish; how to deal with governance, project management, infrastructure, and technology issues; planning for TA, etc.). The solicitation, workshop, and subsequent activities will emphasize the integration of JRA implementations with the National Information Exchange Model (NIEM) and Global Federated Identity and Privilege Management (GFIPM) initiatives.

<i>Descriptions</i>	<i>Calculations</i>	<i>Cost</i>
Airfare	\$500 x 3 staff x 1 trip	\$ 1,500
Lodging	\$129 + 15% tax x 3 staff x 1 trip x 2 nights	890
Per Diem	\$59 x 3 staff x 1 trip x 3 days	531
Ground Transportation	\$100/trip x 3 staff x 1 trip	300
Mileage	\$.55/mile x 3 staff x 1 trip x 100 miles	165
Business Expense	\$10.00 x 3 staff x 1 trip x 3 days	90
<i>Total Initiation Workshop Travel</i>		\$ 3,476

Technical Assistance

Six technical assistance trips for three days each are planned for one SEARCH staff, providing hands-on guidance to the selected jurisdictions on planning and implementing the JRA. This includes tailoring JRA artifacts, identifying services and service interactions, building service specifications, and resolving implementation issues involved in turning models and specifications into working information exchanges and automated business processes.

<i>Descriptions</i>	<i>Calculations</i>	<i>Cost</i>
Airfare	\$500 x 1 staff x 6 trips	\$ 3,000
Lodging	\$129 + 15% tax x 1 staff x 6 trips x 2 nights	1,780
Per Diem	\$59 x 1 staff x 6 trips x 3 days	1,062
Ground Transportation	\$100/trip x 1 staff x 6 trips	600
Mileage	\$.55/mile x 1 staff x 6 trips x 100 miles	330
Business Expense	\$10.00 x 1 staff x 6 trips x 3 days	180
<i>Total Technical Assistance Travel</i>		\$ 6,952

Liaison/Outreach Meetings

Two meetings for three days each are planned for one SEARCH staff, documenting project results and outcomes, communicating those results to appropriate stakeholders, and providing lessons learned and feedback to BJA, Global workgroups (Global Infrastructure/Standards Working Group, Global Services Task Team), and others in order to further enhance the JRA.

<i>Descriptions</i>	<i>Calculations</i>	<i>Cost</i>
Airfare	\$500 x 1 staff x 2 trips	\$ 1,000
Lodging	\$129 + 15% tax x 1 staff x 2 trips x 2 nights	593
Per Diem	\$59 x 1 staff x 2 trips x 3 days	354
Ground Transportation	\$100/trip x 1 staff x 2 trips	200
Mileage	\$.55/mile x 1 staff x 2 trips x 100 miles	110
Business Expense	\$10.00 x 1 staff x 2 trips x 3 days	60
<i>Total Liaison/Outreach Meetings Travel</i>		\$ 2,317

TOTAL Travel Expenses \$ 12,745

Other Costs

<i>Descriptions</i>	<i>Calculations</i>	<i>Cost</i>
	Total Other Costs	\$ -

Indirect Charges

<i>Description</i>	<i>Cost</i>
Total Indirect Charges	\$ 88,688

TOTAL BUDGET **\$ 597,923**