Response to White House Domestic Policy Council

What is Next Generation Identification (NGI)?

NGI will improve, expand, and create new biometric services and will incrementally replace existing Integrated Automated Fingerprint Identification System (IAFIS) components, providing both new and improved identification and increased criminal history information services.

NGI was developed and is being deployed over a multiple year time span. NGI will increase information processing and sharing needs of the more than 18,000 local, state, federal, and international agencies who are our customers. NGI will also provide a framework to support multimodal developments in biometrics like palmprints, scars, marks, and tattoos (SMT), and facial measurement and offer state-of-the-art biometric identification services.

NGI Implementation Schedule

The FBI and its development contractor, Lockheed Martin Transportation and Security Solutions, continue to move forward with the design and development of the NGI System. The following NGI capabilities will be deployed in seven increments, spanning ten years.
Increment 0
The first completed incremental delivery of NGI, replaced 840 legacy workstations with new Advanced Technology Workstations (ATWs). The installation process was completed seamlessly on March 26, 2010. Each ATW has a 30-inch, high resolution LCD monitor that increases operational efficiency to current IAFIS Service Providers.

Increment 1
This increment will support Initial Operating Capability (IOC) by replacing the FBI's existing Automated Fingerprint Identification System (AFIS) with the new Automated Fingerprint Identification Technology (AFIT) and was successfully implemented on February 25, 2011. AFIT will improve search accuracy to over 99 percent from the current 92 percent. AFIT features include faster processing, increased automated processing, and improved flat print searching.

Increment 2
Still in the final design stage, this increment will offer the Repository for Individuals of Special Concern (RISC) and initial NGI infrastructure in 2012. RISC allows rapid search of the databases containing wanted persons, sexual offender registry subjects, and known or appropriately suspected terrorists (KSTs), and other persons of special interest. These searches will be submitted from mobile devices by law enforcement to assess the level of threat of an encountered individual. The CJIS Division is currently piloting the RISC capability with several law enforcement agencies. Increment 2 will support both RISC rapid searches received as e-mails or as web service requests.

Increment 3
Increment 3 establishes the National Palmprint System and transitions IAFIS latent functionality to the new NGI infrastructure. A Latent Fingerprint and Palmprint Trade Study and subsequent report were completed in January. The CJIS Division has collected over 1 million palmprints in preparation of future search and retrieval. Increment 3 will also deliver latent enhancements such as increased penetration rates, investigative accuracy, and increased unsolved latent file capacity. Additionally, Increment 3 will provide a rapid response to the Department of Homeland Security (DHS) Customs and Border Protection (CBP) primary ports of entry.

Increment 4
Increment 4 will deliver the Rap Back Service to address a growing need for additional and timely notification of criminal activity involving individuals holding positions of trust. This Increment will deliver the capability for face, scars, marks, and tattoos searches and replace the IAFIS infrastructure. This increment also provides for enhanced interoperability and provides record-linking capabilities with DHS entities.

Increment 5
This increment will offer an Iris Pilot based on trade study results. This capability has the potential to benefit law enforcement by requiring less interaction with subjects and will allow quicker acquisition.

Increment 6
Increment 6 will offer Full Operational Capability (FOC) and support Technology Refreshment. All performance specifications will be met and additional tuning to meet non-functional requirements will occur.
FEDERAL BUREAU OF INVESTIGATION
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FOI/PA# 1206912-0

Total Deleted Page(s) = 16
Page 44 ~ b7E;
Page 45 ~ b7E;
Page 46 ~ Duplicate - FOIA 1206915- CJIS Box 16 Section 4;
Page 130 ~ b7E;
Page 131 ~ b7E;
Page 159 ~ b7E;
Page 160 ~ b7E;
Page 161 ~ b7E;
Page 212 ~ b7E;
Page 213 ~ b7E;
Page 214 ~ b7E;
Page 216 ~ b7E;
Page 217 ~ b7E;
Page 343 ~ b7E;
Page 344 ~ b7E;
Page 345 ~ b7E;

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RAP BACK:
Notification to an Authorized Contributor that activity (e.g., criminal, civil, External System activity) has occurred on a previously enrolled subject's record.
Direct Rap Back Enrollment
Data Management Services

Rap Back Maintenance / Renewal
NGI Workload

Rap Back
NGI Timeline
(Where we are going)

Requirements Phase
- NGI Update
- RISC & Rep Back Guidance
- IETF
- CISE APB Working Groups
- Compact Council
- Standards Committee
- SPN
- TS Subcommittee
- APB

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<td>LCIU</td>
<td>Gate 2</td>
<td>RFP</td>
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Acquisition Phase

Source Selection based on an estimated number of responses

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Slide 348
Total Deleted Page(s) = 5
Page 13 - b7E;
Page 89 - Duplicate - 1181716-1 CJIS Box 1 Section 1;
Page 145 - b7E;
Page 151 - Duplicate - FOIA 1206919- CJIS Box 26 Section 7;
Page 301 - b5;

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**Rap Back, Facial, SMT Search Capabilities**

**Migration of Remaining IAFIS Functionality**

(Increment 4)
- Rap Back – notification of criminal activity on previously enrolled individuals
- Facial and SMTs – expansion of facial and SMT searches for investigative purposes
- Disposition reporting via CJIS Wide Area Network (WAN)
- Unique Identity – more complete and accurate history records by using a unique identity reference
- Full interoperability to include transition of shared services to NGI
- Fingerprint verification services

**INCREMENT 4 (2013)**

In Increment 4, all remaining IAFIS functionality, which includes the high priority functionality previously delivered as QUICKWINS, will be migrated to the NGI architecture. At a minimum, IAFIS response and accuracy requirements will be met or exceeded, however, the advanced NGI response and accuracy requirements will be realized in Increment 6. The expansion of the facial and scars, marks, and tattoos search will be included in this increment. The verification transaction will enable users to submit a transaction to confirm an identity based on a one-to-one comparison.

The Enhanced IAFIS Repository (EIR) will be operational supporting the unique identity concept and Rap Back capability. As a new feature, the Rap Back Service will provide authorized criminal justice and non-criminal justice users the capability to receive subsequent notification of criminal activity posted to an enrolled individual’s record.

NGI will include criminal and civil submissions, biometric submissions, special population files, unsolved-latent/biometric files, etc. A **unique identity reference (alphanumeric character)** will identify and collectively locate individuals contained within the files.

Additionally, disposition reporting via the CJIS WAN will be included with this increment as will the shared services to provide interoperability.
Rap Back Activities

- Reviewing Best Practices and Lessons Learned
  - Currently identified states with Rap Back business lines
  - Strategic discussions to align with a national implementation
- Identifying Policy Focus Areas
- Going Forward
  - Engage Law Enforcement Partners
  - Continue working with Subject Matter Experts
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Page 38 ~ Referral/Direct;
Page 39 ~ Referral/Direct;
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Page 99 ~ Duplicate - FOIA 1181716-1 - CJIS Box 6 Section 1;
Page 155 ~ b7E;
Page 161 ~ b7E;

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Quick Wins

DHS and OPM

ISSUE:
• Revetting

QUICK WIN:
• Interim Rap Back

Revetting seems to be a common issue among the IPC members and they indicated that Rap Back could be a possible solution once implemented in 2014 to fill the “gap” of information sharing.

So as a result of the discussions during the September 20th meeting of the NSS IPC, Compact Council, APB, and the FBI, the FBI has decided to implement “Interim Rap Back” until 2014 and full Rap Back is operational.

Implementation: Tentatively April 2012.

Participating Agencies: Initially [ ] then it may be opened up to other [ ] federal agencies and to the [ ]
### Initiative for CJIS.P4 - NGI
#### Major Milestones or Tasks

<table>
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<th>Start</th>
<th>End</th>
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<td>09/05/14</td>
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*Increment 1 SAR and IOC dates are expected to change due to results of the Trade Study. Expected completion date of final schedule is mid-July 2009.*

**NOTE:** Based on Version 17 of the Contractor IMS. All increment start dates are SAR dates. End dates are SAR dates.

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**Increment 0** - Advanced Technology Workstation  
**Functionality** - Replace Service Provider workstation  
**Benefit** - Use of commodity platform for HIM lowers Total Cost of Ownership (TCO)

**Increment 1** - Identification Fingerprint Trade Study Implementation  
**Functionality** - Advanced Fingerprint Identification Technology (AFIT) Identification  
**Benefits** - More accurate fingerprint search and better support for flats and less than 10 fingers

**IOC** - Initial Operating Capability  
**Functionality** - Implementation of AFIT solution on Operational Environment  
**Benefit** - Early look of functionality of NGI system

**Increment 2** - Initial deployment of NGI Infrastructure Objective Repository for Individuals of Special Concern (RISC) deployment  
**Functionality** - RISC rapid search using NGI Infrastructure  
**Benefit** - Fast RISC response times and opportunity to evaluate NGI infrastructure under operational use

**Increment 3** - Initial Deployment of NGI Workflow and National Palmprint System  
**Functionality** - Investigative fingerprint and Palmprint on NGI infrastructure  
**Benefit** - All latent functionality hosted on NGI infrastructure and National Palmprint System

**Increment 4** - Retirement of legacy IAFIS High priority NGI  
**Functionality** - IAFIS migration to NGI / Rap back / Shared services / EIR operational / Facial and Seans, Marks, and Tattoos (SMT) search / Disposition reporting via CJIS WAN and NGI / Unique identity / RISC notifications / Fingerprint verification Services / All legacy HIM capabilities re-implemented  
**Benefit** - All latent functionality hosted on NGI infrastructure and National Palmprint System

**Increment 5** - Full deployment of NGI functional requirements  
**Functionality** - All NGI functionality  
**Benefit** - All NGI user functionality available

**Increment 6** - Performance Validation  
**Functionality** - Disaster Recovery and all performance specifications met or exceeded  
**Benefit** - Complete NGI System

**FOC** - Full Operating Capability  
**Functionality** - Final implementation of the NGI System on Operational Environment  
**Benefit** - Complete System Implementation
• Advanced Fingerprint Identification Technology
  - Increase existing IAFIS functions: Capacity, Storage, & Accuracy
  - Enhance Latent Processing Services
  - Create the RISC

• Enhanced IAFIS Repository
  - Utilize the civil file for ten-print searching purposes
  - Provide Iris services
  - Provide Rap Back Services
  - Five additional repositories

• National Palm Print System
  - Establish a Palm Print Repository with latent functionality

• Quality Check (QC) Automation - The Quality Check function of IAFIS is one of the first steps in IAFIS tenprint processing in which textual information is reviewed. At one point in time all transactions required a manual review. As of July 1, 2007, Auto QC was implemented and has reduced the manual processing time from an average of to an average of

• Interstate Photo System (IPS) or Mugshots - The IPS capability will enhance the enrollment of photos, the retrieval capability of photos and provide additional search capabilities of photo repositories (including SMT photos) using biographical data and/or facial recognition technology.

• Disposition Reporting Improvements - Approximately of our records contain dispositions. Therefore, this initiative proposes the development of four enhancements as alternatives for the submission of disposition information: Submissions Via CJIS-WAN; Submissions Via III; Modernization of our magnetic tape based Machine Readable Data (MRD) Process; and Direct Federal Court Submissions. A portion of this modernization began on 9/2/07 for existing MRD users.
Next Generation Identification

- Increment 4
  - Rap back
  - Shared services
  - Enhanced IAFIS Repository (EIR) operational
  - Facial and Scars, Marks, and Tattoos (SMT) search
  - Disposition reporting via CJIS Wide Area Network (WAN)
  - RISC notifications
  - Fingerprint verification Services
  - Face Recognition

- Increment 5
  - Iris Pilot

- Increment 6
  - Technology Refresh
  - Full Operating Capability
  - IAFIS decommissioned
    - IAFIS phased out
Compact Council
Rap Back Task Force
March 23, 2010
The NGI Rap Back Service was developed in response to a need for notification of activity that occurs after the initial processing and retention of fingerprint transactions.
<table>
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<tr>
<th><strong>Rap Back Service Components</strong></th>
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<tbody>
<tr>
<td><strong>Notification</strong></td>
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<td><strong>Expiration Date</strong></td>
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<td><strong>Subscription Renewal</strong></td>
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<td><strong>Notification</strong></td>
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<tr>
<td><strong>Type of Activity</strong></td>
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Rap Back Service Memorandum of Understanding (MOU)

- Rap Back Service participation will require MOU with CJIS
- Decisions/selections by the state/federal agency will be incorporated into the MOU
- Will address audit requirements
- Will address fees
Rap Back Service

Background

Progress to Date
Rap Back Service Milestones

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<tr>
<th>September 2005 – March 2006</th>
<th>Requirements Canvassing</th>
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<td>February 2006 &amp; April 2006</td>
<td>IAFIS Interface Evaluation Task Force (IETF)</td>
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<td>April 2006</td>
<td>IS Subcommittee</td>
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<td>May 2006</td>
<td>Compact Council</td>
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<td>April 2006</td>
<td>APB Meeting</td>
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Rap Back Service
APB and CC Approved
Recommendations

- The Rap Back Service will utilize the same dissemination protocols currently in place for criminal/civil fingerprint submissions
- Rap Back pre-notification should be optional
- Pre-notification and notification should be sent for purges
- The event that triggered the Rap Back notification will be highlighted within the Rap Back response
- The disposition data submitted on an enrolled Rap Back identity would trigger a Rap Back notification
Rap Back Service
APB and CC Approved Recommendations

- Rap Back Enrollment Time Period unlimited with the capability to set an expiration date
- Follow up notification on subscription renewal
- Resend Pre-notification follow up after 15 days of no response
  
  Follow up by FBI
- States should be provided with the ability to opt out of receiving state triggered events
- Agency has the option to receive the entire Identity History Summary or only the event that triggered the Rap Back response
Compact Council

• Compact Council formed Rap Back Task Force
  – All states invited to attend
• Rap Back Task Force met August 11-12, 2009
• Rap Back Task Force reported to the Compact Council’s Policy and Planning Committee on September 17, 2009
• Policy and Planning Committee reported to Compact Council on November 4-5, 2009
Rap Back Service

Ten Areas Examined
NGI Increment 4 Timeline
Projected Implementation Schedule
To preserve civil Rap Back Service, should at least one civil submission be required from each state?

Compact Council Rap Back Task Force: Yes. We need to review requirements for potentially including a verification process by submitting fingerprints through the direct enrollment.

Compact Council Policy And Planning Committee: Concurred.

Compact Council: Concurred. NGI to consider unique TOT for Rap Back enrollment.
Should a new set of civil fingerprints be required if the set on file at the FBI is over a certain age?

Compact Council Rap Back Task Force: No. Many agencies do not have the authority/mechanism to obtain new prints.

Compact Council Policy and Planning Committee: Concurred.

Compact Council: Concurred.
Compact Council Rap Back Task Force:

- Defined triggers

FBI CJIS Additions:

- Death Notices
- Immigrator Violation File Flags

Compact Council Policy and Planning Committee: Concurred

**Choice is made for each individual Rap Back subscription**

Compact Council: Concurred. Except for arrests, all other triggers optional for both contributing and receiving states.
Compact Council Rap Back Task Force
Recommended that the Policy and Planning Committee request the FBI to determine the feasibility of a new message key to provide notification of disposition updates.

Compact Council Policy and Planning Committee
Recommended that alternatives be explored.

Compact Council: No motion required.
# 3b
In-State Activity

Compact Council Rap Back Task Force:
Use first two characters of the Originating Agency Identifier (ORI) to identify in-state activity. A process would need defined to allow notification of federal and tribal arrests/events that occur within the state.

Compact Council Policy and Planning Committee:
Concurred.

Compact Council: Concurred.

Compact Council Policy and Planning Committee: Concurred.

Compact Council: Concurred.

Compact Council Policy and Planning Committee: Concurred.

Compact Council: Concurred.
Highlighting of Triggering Event within Identity History Summary


Compact Council Policy and Planning Committee: Concurred.

Compact Council: Triggering event should NOT be highlighted within the Identity History Summary.
# 5
Providing Civil Information in Response to Civil Submissions

Compact Council Rap Back Task Force:

- Provide all biographical information (including civil) in all responses.
- Do not provide civil event information in response to civil submissions or as part of a Rap Back response.

*Possible exception for national security purposes which needs to be further researched.*

Compact Council Policy and Planning: Concurred with the addition of regulatory purpose as an exception.

Compact Council: Assigned to Task Force.
Process used to provide the Identity History Summary

Compact Council Rap Back Task Force:

- The audit process needs to be examined for no responses to pre-notifications.
- Use the existing dissemination processes to provide Identity History Summary.

Compact Council Policy and Planning Committee: Concurred.

Compact Council: Concurred. The word “audit” to be removed.
# 7

Responses and Notifications When Individuals are No Longer of Interest

Compact Council Rap Back Task Force:

• Provide a list of enrollees for validation.

• If no expiration date is set, then pre-notification is required or some acceptable process which addresses this privacy concern.

Compact Council Policy and Planning Committee: Concurred.

Compact Council: Supported with additional discussion of privacy concerns related to the individual.
Retention of civil fingerprints when the individual is no longer of interest

Compact Council Rap Back Task Force: Mitigations presented are sufficient. Civil will be retained unless submitter requests removal.

Compact Council Policy and Planning Committee: Concurred.

Compact Council: Assigned to Task Force to study the issue of allowing the submitter the ability to request removal of the civil fingerprint.
Use of Retained Civil Submissions for Purposes Other than Rap Back

Compact Council Rap Back Task Force:
- Add criminal justice investigation to “use limited.”
- Mitigations presented are sufficient.

Compact Council Policy and Planning: Concurred.
Compact Council: Concurred.
Rap Back Service Fees

Compact Council Rap Back Task Force:

- How will the fee be assessed?
- Single fee up front is desired by most Task Force members.
- Yearly assessment is used in VA and FL.

Compact Council Policy and Planning: Concurred.
Compact Council: No motion. Clearinghouse assigned to Task Force.
Rap Back Task Force Issues

3/23/2010
Rap Back Service

- Volume Projections
- Percentage of applicants to be enrolled
- Future growth
Rap Back Service

• Discussion of state issues
NEXT GENERATION IDENTIFICATION
Rap Back Service
White Paper

Compact Council Rap Back Task Force

Date of Last Revision
August 5, 2009
INTRODUCTION

The Next Generation Identification (NGI) System will provide a new, optional service known as the Rap Back Service. The purpose of the Rap Back Service is to provide agencies with the capability of receiving criminal and, for specific, limited purposes, civil information, which the FBI receives after the initial processing and retention of criminal justice or civil applicant fingerprint submissions.

BACKGROUND

The Rap Back Service was developed in response to a need by IAFIS users for notification of criminal, and, in limited cases, civil activity of individuals that occurs after the initial processing and retention of criminal or civil fingerprint transactions by the CJIS Division. This need was identified in the 2005 Report of The National Task Force on the Criminal Backgrounding of America. The Report recommended that all criminal history repositories should offer automatic updating of disseminated information as part of their criminal check offerings. A survey conducted in 2007 and reported in the Report of the National Focus Group on the Retention of Civil Fingerprints by Criminal History Repositories reported that 26 states offered Rap Back services by their state identification bureau (SIB). Both of these reports also examined issues related to Rap Back services such as fees and privacy issues. The Rap Back Service was included in the NGI User Requirements Canvass. Additional user requirements for the Rap Back Service were identified during the canvass and vetted through the FBI CJIS Advisory Policy Board (APB) and the National Crime Prevention and Privacy Compact Council (Council).

The Council and the APB made the following specific recommendations concerning the Rap Back Service:

- Rap Back Subscription Time Period
  - Unlimited with the capability to set an expiration date

- Rap Back Subscription Renewal Notification and Optional Pre-notification
  - Follow-up notification on Subscription Renewal
  - Follow-up notification on Pre-notification
    - Resend Pre-notification follow-up after 15 days of no retrieval of history
    - Follow-up by FBI

Additional Rap Back Recommendations
- States should be provided with the ability to opt out of receiving state triggered events
- Agency has the option to receive the entire Identity History Summary or only the event that triggered the Rap Back Response
The Rap Back Service will utilize the same dissemination protocols currently in place for criminal/civil fingerprint submissions.

- Rap Back pre-notification should be optional.
- Pre-notification and notification should be sent for purges.
- The event that triggered the Rap Back notification should be highlighted within the Rap Back response.
- The disposition data submitted on an subscribed Rap Back identity could optionally trigger a Rap Back notification.

Generally, these individuals to be subscribed to the Rap Back Service fall into two categories. The first are those holding positions of trust and whose fingerprints are authorized to be submitted to the FBI by federal or state law or Executive Order as part of a fitness determination. These positions are licensed or have eligibility requirements that include prohibitions against, or a requirement to assess, certain criminal conduct. The second category relates to individuals being processed through the criminal justice system. For example, individuals placed on probation and parole may be enrolled into the Rap Back Service by probation and parole agencies that wish to be notified of subsequent criminal activity.

In many instances, agencies currently resubmit civil fingerprint transactions on persons in positions of trust at some regular interval, often measured in years. Time and again, these agencies have discovered through a variety of informal mechanisms that individuals have committed criminal acts which may be grounds for reconsideration of their position of trust. Also, many national security agencies hire employees or contractors into sensitive positions; provide persons access to high-security facilities; and provide access to critical infrastructure and information based upon thorough background investigations and national fingerprint checks.

By allowing these agencies to subscribe individuals into the NGI Rap Back Service, the FBI will immediately provide the notification of subsequent postings to the individual’s Identity History Record to support user agency needs.

**Rap Back Service Components**

NGI will provide the capability for authorized agencies to subscribe criminal and civil fingerprint submissions in the Rap Back Service, collect information necessary to support billing, and offer several methods to ensure Rap Back information is current.

The Rap Back Service will allow subscription at the time of initial fingerprint submission and also subsequent to the initial fingerprint submission. Agencies will be able to request an Identity History Summary to determine if any activity occurred during the time period between the initial fingerprint submission and the Rap Back subscription.

The following are two examples, one civil applicant and one criminal justice, of the subscription of an individual subsequent to the initial fingerprint submission:
An authorized agency is screening a candidate for a position of trust and submits a state defined applicant transaction to its respective SIB. The SIB processes the transaction in its state system and forwards a Non-Federal Applicant User Fee transaction to the FBI requesting that the FBI retain the submission. Upon completion of the background screening process, the agency decides to hire the individual. A message is sent by the authorized agency with the Rap Back subscription information to its SIB. The SIB forwards the information as an Electronic Biometric Transmission Specification (EBTS) transaction to the FBI to subscribe the employee in the NGI Rap Back Service.

An individual is arrested and fingerprints are submitted to the state which forwards the information to the FBI as an EBTS transaction. The individual is later convicted and sentenced to two years probation. The probation order restricts the individual’s travel to the state and prohibits any further criminal conduct. The probation department sends the state a transaction with the Rap Back subscription information. The SIB forwards the information to the FBI as an EBTS transaction to subscribe the individual in the Rap Back Service.

All notifications and responses would be provided by the FBI using existing protocols. Most importantly, these notifications and responses would be provided over the CJIS WAN as EBTS transactions to the SIB, interface agency or channeling agency. The SIB, interface agency or channeling agency would be responsible for delivering the information to the Rap Back agency and other agencies designated by the agency who subscribed the individual in the Rap Back Service.

The major Rap Back Service components are listed below. Agencies will be able to make several selections regarding future notifications. Some of the options will serve as tools to protect privacy and others will serve to assist in the administration and maintenance of Rap Back Services. These include:

**Notification content:** Notifications of activity will be in one of the following forms:

- Pre-notification
- Triggering Event
- Identity History Summary

The form of the notification will be selected by the authorized agency when the agency (ORI) begins participation in the Rap Back Service and will be included in the Memorandum of Understanding (MOU) with the FBI.

**Pre-notification:** The Rap Back Service will provide agencies the option of being notified prior to receiving the subsequent Rap Back information. Pre-notification, if employed, will assist to ensure the individual is currently employed, licensed or still of interest to the participating agency.
When agencies choose to participate in the pre-notification process, the Rap Back Service will provide notification that additional information has been received for the subscribed individual. This initial Rap Back notification will only alert the requesting agency and/or designated user(s) that some subsequent activity has occurred, but will not contain any specific information about the activity. The requesting agency and/or designated user(s) will then need to confirm, through a specific request, that the individual is still of interest. Only then will the NGI System release the specific subsequent information.

It has been requested, and endorsed by the APB and the Council, that the pre-notification be optional due to the fact that such pre-notification responses could become overwhelming for large contributing agencies, such as the Office of Personnel Management, to manage. These agencies could manage Rap Back subscriptions through bulk maintenance processes.

**Triggering Event:** Authorized agencies would be able to select to receive only the information which triggered the Rap Back Notification.

**Identity History Summary:** Authorized agencies would be able to select to receive a complete Identity History Summary.

**Expiration date:** Agencies would be permitted to set an expiration date for the Rap Back Service. This would be useful, for example, when the individual is to be licensed for a pre-defined period of time. In the event the individual is relicensed for an additional period of time, the agency could choose to update the expiration date. If the authorized agency fails to update the expiration date, Rap Back Services would automatically terminate on the expiration date and no further Rap Back Notifications would be sent to the agency.

**Rap Back Subscription Renewal Notification:** The FBI will send the Rap Back agency a notification prior to the expiration of a Rap Back subscription.

**Type of Activity:** Authorized agencies would be able to select the types of Triggering Events (e.g., arrest, disposition, all) which would generate a Rap Back notification. These types of Triggering Events need to be defined during the development of the Rap Back Service.

**In-state Activity:** Authorized agencies would be able to select whether to receive notifications for triggering events which occurred within their state. Some states, due to sole source processing rules and other procedures, may regard Rap Back notifications of activity within their state as redundant and elect not to receive them.
Additional Agencies: Authorized agencies may designate additional agencies (i.e., through the originating agency identifier numbers) to receive Rap Back notifications for an individual. As an example, both a state board of education which certifies teachers and the employing school district may need to receive Rap Back notifications. Any additional agencies designated to receive Rap Back notifications must be authorized to receive the information within the existing use and dissemination restrictions.

Rap Back Subscription List: Authorized agencies participating in the Rap Back Service will be able to request a list of all individuals they have subscribed in the Rap Back Service and the selections (e.g., type of activity, expiration date) for each individual.

Rap Back Maintenance: Authorized agencies will be able to update the Rap Back Service information (e.g., type of activity, expiration date) for individuals using the Rap Back Maintenance. Rap Back Maintenance will also include bulk maintenance processes for large contributing agencies. For example, the Rap Back expiration date could initially be set for 60 days after subscription, and then monthly those individuals which are still of interest would be updated by the subscribing agency with new expiration dates and those no longer of interest would be allowed to expire.

User Fees: The Rap Back Service will need to ensure the necessary information is collected to support user fee billing. A decision has not been made on how the fee will be charged or what the fee will be.

In summary, the Rap Back Service will require the collection of additional information from the requesting agency. This information will need to be included in EBTS transactions, other submission methodologies and the MOU. Those items which are expected to be incorporated into the MOU are indicated in the list below. This additional information includes:

- Request to retain the fingerprint submission
- Request to subscribe the fingerprint in the Rap Back Service
- An expiration date for the Rap Back Service
- The types of activity (e.g., arrest, disposition, all) that triggers the notification
- A selection to receive either the complete Identity History Summary or only the new information that triggered the Rap Back notification (MOU)
- A selection to receive a pre-notification on submissions subscribed in Rap Back (MOU)
- A selection to not receive subsequent activity occurring within the state that requested the Rap Back Service (MOU)
- Designation of additional agencies to receive Rap Back information
- Information to support user fee billing
In addition to the information identified above to be incorporated into the MOU, the MOU will also address:

- Agreement to pay fees as established by the FBI
- Responsibility for maintenance of subscriptions
- Audit requirements specific to the Rap Back Service

**Areas To Be Examined**

Several issues of potential concern have been identified by the Compact Council (May 14, 2009) and in the course of preparing NGI Privacy Impact Assessments (PIA). Several PIAs are being developed covering various aspects of the NGI Program. A separate PIA will specifically address the Rap Back Service.

The following is a current listing of the identified issues of concern for the Rap Back Service:

1. Major policy decisions which impact NGI Increment 4 design should be made by the spring of 2010, at the very latest, to avoid schedule impacts. States will require time to obtain necessary approvals (legislative, executive, rulemaking, etc.) and make system changes, if required.

2. A determination needs to be made as to whether at least one civil submission should be required from an NFF or III state (even in cases where a criminal print is already on file with the FBI) for Rap Back Services. If at least one civil submission is not required, then an expungement of the entire criminal record would result in termination of the Rap Back subscription as it would no longer be supported by any fingerprints. Should a new set of civil fingerprints be required if the set on file at the FBI is over a certain age?

3. A determination needs to be made as to which NGI events could potentially trigger the Rap Back Service. Once these events are identified, a review will need to be conducted to determine if NGI is notified of these events. Additionally, how these events will be “highlighted” in notifications needs to be determined.

4. The Rap-Back information to be returned in the response when an individual is subscribed in the Rap Back Service needs to be specified.

5. Providing civil information in response to civil submissions. This is expected to be limited to criminal investigative and national security purposes.

6. If a Rap Back agency elects to receive an Identity History Summary, what processes will be used to provide the Identity History Summary?
7. The FBI could provide responses for individuals who are no longer of legitimate interest (e.g., no longer employed, licensed). This risk is mitigated in part by pre-notification capabilities, the optional capability to set and maintain the Rap Back expiration date or other methods to maintain currency of individuals subscribed in the Rap Back Service (e.g., OPM bulk maintenance transactions), and the ability of agencies to delete a civil record and its associated Rap Back subscription. Future FBI CJIS Audits could be expanded to address this issue.

8. The FBI could potentially retain civil fingerprint transactions when the individual is no longer of interest. This is mitigated in part by the ability of agencies to delete a civil record and its associated Rap Back subscription.

9. The FBI will use retained civil submissions for purposes other than the Rap Back Program (e.g., searching latent fingerprint). It is the FBI’s plan to search incoming civil fingerprint transactions (whether retained or not) against the unsolved latent file and to allow searching of retained civil submissions by latent fingerprint search transactions. Some states may elect to not have the FBI retain their civil submissions and participate in the Rap Back. Latents include valuable counterterrorism and violent crime investigative potential and would provide benefit to the screening agency.

10. Due to the additional costs associated with providing Rap Back Services, the FBI will charge an additional fee when the Rap Back Services are for non-criminal justice purposes. Although the fee associated with the Rap Back Service is unknown at this time, the FBI will conduct a cost analysis of Rap Back Services to establish the Rap Back fee. As more information becomes available, the CJIS Division will also work with stakeholders, the FBI’s Finance Division, Department of Justice, and Office of Management and Budget to ensure compliance with all necessary procedures prior to implementation of this fee.
Compact Council Rap Back
Task Force
August 11 – 12, 2009

Rap Back Service
Background
Progress to Date
National Task Force on the Criminal Backgrounding of America (2005)

- Recommendation 1.5 – Offer automatic updates of disseminated information

National Focus Group on The Retention of Civil Fingerprints 2008

- Only 10 of the 45 responding states did not retain any of the fingerprints they processed for civil purposes in 2007

- 24 states that retained civil fingerprints in 2001 matched them to subsequently submitted arrest fingerprints; 30 states did so in 2007

- In 2001, civil fingerprints were searched against latent fingerprint databases in 14 states. That number grew to 21 in 2007

- 22 states in the 2001 survey offered Rap Back or hit-notice services in some fashion. That number increased to 26 by 2007
# Rap Back Service Milestones

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
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<tr>
<td>September 2005 -</td>
<td><strong>Requirements Canvassing</strong> - Over 193 groups were canvassed for input. These groups included State Identification Bureaus (SIBs) and State Crime Labs, numerous federal agencies, specific FBI Field Offices, authorized noncriminal justice agencies and various special interest groups such as the National Institute of Standards and Technology (NIST) and National Consortium for Justice Information and Statistics (SEARCH). The 193 groups represented the voices of over 1,000 individuals identifying over 1,000 NGI stakeholder requests.</td>
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<td>March 2006</td>
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<tr>
<td>February 2006 &amp;</td>
<td><strong>IETF Interface Evaluation Task Force (IETF)</strong> - The purpose of this meeting was to assess the NGI stakeholder requests and to provide direction to the CJIS Division regarding the categorization and delivery of the stakeholder requests to the APB and the National Crime Prevention Compact Council. This meeting included representatives of the Identification Services (IS) Subcommittee, the Compact Council, Department of Homeland Security, and CJIS Division personnel. The IETF convened at the CJIS Division on April 11-12, 2006 to continue the assessment of the NGI stakeholder requests. At the conclusion of the meeting, the IETF members collectively endorsed the categorization of the NGI stakeholder requests and proposed an endorsement recommendation to be entertained by the IS Subcommittee.</td>
</tr>
<tr>
<td>April 2006</td>
<td><strong>IS Subcommittee</strong> - The NGI Program Office provided an update to IS Subcommittee members in San Antonio, TX, on April 26-27, 2006. The NGI Program status briefing included an update on the collection of NGI stakeholder requests, as well as a review and endorsement of these stakeholder requests provided by the IETF. The IS Subcommittee endorsed the NGI stakeholder requests based on the work of the CJIS Division, the IETF, and the IS Subcommittee.</td>
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<tr>
<td>May 2006</td>
<td><strong>Compact Council</strong> - The NGI Program Office provided an NGI update, specifically focusing on the NGI stakeholder requests collection and categorization.</td>
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Rap Back Service Milestones

<table>
<thead>
<tr>
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<th>Activity</th>
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<tbody>
<tr>
<td>June 2006</td>
<td>APR Meeting - Endorsed the NGI stakeholder requests and their categorization.</td>
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<tr>
<td>January 2007</td>
<td>HEET - Recommendations to enhance Rap Back Service.</td>
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Rap Back Service Milestones

Compact Council
Approved Recommendations

- The Rap Back Service will utilize the same dissemination protocols currently in place for criminal/civil fingerprint submissions
- Rap Back pre-notification should be optional
- Pre-notification and notification should be sent for purges
- The event that triggered the Rap Back notification will be highlighted within the Rap Back response
- The disposition data submitted on an enrolled Rap Back identity would trigger a Rap Back notification
Rap Back Service
Milestones
Advisory Policy Board
Approved Recommendations

- Rap Back Enrollment Time Period
  Unlimited with the capability to set an expiration date
- Rap Back Subscription Renewal Notification and Optional Pre-notification
  Follow up notification on subscription renewal
  Follow up notification on Pre-notification
  Resend Pre-notification follow up after 15 days of no response
  Follow up by FBI
- Additional Rap Back recommendations:
  States should be provided with the ability to opt out of receiving state triggered events
  Agency has the option to receive the entire Identity History Summary or only the event that triggered the Rap Back response

Rap Back Privacy

- Privacy Impact Assessments
  - Retention of Federal and State Noncriminal Justice Fingerprint Submissions
  - Rap Back Service
- System of Records Notice
- Code of Federal Regulations
Fall 2009 Topic Paper

- Noncriminal Justice Fingerprint Retention in Preparation for Future NGI Services
- Specifically addresses Privacy Act Notice
- To be presented
  - Compact Council Standards Committee
  - APB Regional Working Groups

Rap Back Service
White Paper Overview
Rap Back Service

The NGI Rap Back Service was developed in response to a need for notification of criminal, and in limited cases, civil activity of individuals that occurs after the initial processing and retention of fingerprint transactions.

Rap Back Service
Terminology

Subscription
Update
Response
Notification
Rap Back Service
Components

Notification
Expiration Date
Subscription Renewal Notification
Type of Activity

In-State Activity
Additional Agencies
Subscription List
Maintenance
User Fees

Pre-notification – Authorized agencies will have the option of being notified prior to receiving the subsequent Rap Back information

Triggering Event – Authorized agencies will have the option to select to receive only the information which triggered the Rap Back notification

Identity History Summary – Authorized agencies will have the option to select to receive a complete Identity History Summary
Rap Back Service
Expiration Date

Agencies would be permitted to set an expiration date for the Rap Back Service.

Rap Back Service
Subscription Renewal Notification

The FBI will transmit to the Rap Back agency a notification prior to the expiration of a Rap Back subscription.
Rap Back Service
Type of Activity

Authorized agencies will have the option to select the Triggering Events which would generate a Rap Back notification.

Rap Back Service
In-State Activity

Authorized agencies will have the option to select whether to receive notifications for triggering events which occurred within their state.
Rap Back Service
Additional Agencies

Authorized agencies may designate additional agencies to receive Rap Back notifications for an individual.

Rap Back Service
Subscription List

Authorized agencies participating in the Rap Back Service may request a list of all individuals they have subscribed in the Rap Back Service and the selections for each individual.
Rap Back Service
Subscription Maintenance

Authorized agencies may update the Rap Back Service information for individuals using the Rap Back maintenance.

Rap Back Service
User Fees

The Rap Back Service will need to ensure the necessary information is collected to support user fee billing.
Rap Back Service
Memorandum of Understanding (MOU)

- A selection to receive either the complete Identity History Summary or only the new information that triggered the Rap Back notification
- A selection to receive a pre-notification on submissions subscribed in the Rap Back Service
- A selection to not receive subsequent activity occurring within the state that requested the Rap Back Service

Rap Back Service
Memorandum of Understanding (MOU)

- Agreement to pay fees as established by the FBI
- Responsibility for maintenance of subscriptions
- Audit requirements specific to the Rap Back Service
Rap Back Service
Areas To Be Examined

Discussion Point #1
NGI Increment 4 Timeline
## NGI Projected Implementation Schedule

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<td>System Design</td>
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<td>2009</td>
<td>Advanced Technology Development</td>
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<td>2010</td>
<td>RISC Prototype</td>
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<tr>
<td>2011</td>
<td>Identification Example</td>
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<tr>
<td>2012</td>
<td>Integration &amp; Test Implementation &amp; Integration</td>
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<tr>
<td>2013</td>
<td>NGI Projected Implementation Schedule</td>
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<tr>
<td>2014</td>
<td>G&amp;G Testing</td>
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### NGI Increment 4

[Diagram depicting NGI Increment 4]
Discussion Point #2
Civil Submission Requirements

Civil Submission Requirement

- Rap Back Service is tied to an identity
- Rap Back Service can be initiated as part of fingerprint submission or direct enrollment (no fingerprints)
- Deletion of identity terminates Rap Back Service
- To preserve civil Rap Back Service, should at least one civil submission be required from each state?
Civil Submission Requirement

• Should a new set of civil fingerprints be required if the set on file at the FBI is over a certain age?

No

Discussion Point #3

Rap Back Service Triggers
Rap Back Service Triggers

- Events are defined as EBTS transactions which update a record
- Events which could trigger the Rap Back Service from previous discussions
  - Arrest
  - Disposition
  - Consolidation
  - Expungement
  - Purge
  - External System Activity

Rap Back Service Triggers

- Criminal Fingerprint Identification Search
- Civil Fingerprint Identification Search
  - Missing Person?
  - Amnesia Victim?
- Disposition Fingerprint Search
- EBTS Disposition Maintenance
- CPI Messages
- Purges/Expungements
- External System Activity
Rap Back Service Triggers

- Options for selection of triggering events
  - Multi-select
  - Select all
  - Other options

- Need to define how to determine in-state activity
Discussion Point #4
Rap Back Notifications

Rap Back Service
Notifications

<table>
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<tr>
<th>Type of Notification</th>
<th>Information Needed</th>
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<tr>
<td>Pre-notification</td>
<td>Data Elements in Response</td>
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<tr>
<td>Triggering Event</td>
<td>Data Elements in Response</td>
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<td>Full Identity History Summary</td>
<td>Method to “highlight” triggering event</td>
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Discussion Point #5
Providing Civil Information in Response to Civil Submissions

- Limited use
  - National security
  - Criminal investigation
Discussion Point #7
Responses and Notifications
When Individuals are No Longer of Interest

- Privacy concern
- Mitigations
  - Pre-notification
  - Rap Back expiration date
  - Rap Back maintenance (subscription & expiration date)
  - Removal of civil submission
  - CJIS audit
Discussion Point #10
Rap Back Service Fees

The FBI charges a fee for processing noncriminal justice, non-law enforcement fingerprint submissions.
Rap Back Service Fees

Fee Authority

- Authorized under PL 101-515 to recover the full cost of providing the services
- Includes authority for an additional amount to defray expenses for automation

Setting the Fee
- Authorizing language
- Cost Guidance

Costing Guidance
- OMB’s Circular A-25
- DOJ Fee Policy
- Federal Appropriations Law
- GAO “Federal User Fees”
Rap Back Service Fees

A-25

• Key Points
  • User Fees may be applied for Federal activities that "convey special benefits to recipients beyond those accruing to the general public"
  • User charges will be sufficient to recover the full cost to the Federal Government (direct and indirect costs) for providing the service

Rap Back Service Fees

Activity Based Costing

• Implemented at CJIS in 2002 as the costing methodology for fee setting
  • Looks at the relationship between resources, activities; and products and services
Rap Back Service Fees

Reviewing the Costs
- Contractor conducts an annual user fee study
- Based upon historical costs and projected volume

Rap Back Fee
- Fee will be based upon cost recovery using ABC
- Will require additional information on the cost of providing Rap Back Services before costs can be estimated and a fee established

New Fee Notification
The addition of a new fee class for Rap Back Services will require:
- Prior coordination with users
- Publication in the Federal Register
Rap Back Service Fees

Best Practices from Rap Back Task Force

- How did your agency assess the fee to charge for the service?
- Did you conduct a study to determine your fee?
  - If so, would you be willing to share your fee study with CJIS?
- What is your current Rap Back fee?
- Do you have any lessons learned which were effective in designing, implementing, and billing the Rap Back Services to your local agencies?

Rap Back Task Force

- Outstanding Issues
- Action Items
- Concluding remarks
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A More Detailed Look at EIR Rap Back Service

- Accept Rap Back enrollments for a specified identity.
- Provide Rap Back notifications for specified event types.
- Maintain Rap Back subscription information.
- Provide Rap Back subscription renewal notification.
- Provide Rap Back subscription status.
EIR Rap Back Service Recommendations

Standards Committee input related to criminal justice Rap Back services will be forwarded to the IS Subcommittee for consideration.

1) The Rap Back service utilizes the same dissemination protocols currently in place for criminal/civil fingerprint submissions.
EIR Rap Back Service
Recommendations

2) Prior to sending a Rap Back notification to the authorized agency(ies), a Rap Back pre-notification would be sent to the submitting agency indicating that IAFIS has received subsequent activity on an enrolled individual. The submitting agency would need to confirm, through a response, that the individual is still of interest prior to IAFIS releasing the Rap Back notification.
EIR Rap Back Service Recommendations

3) The Rap Back event that triggered the Rap Back notification will be highlighted within the Rap Back response.

4) Disposition data submitted to IAFIS on an enrolled Rap Back identity would trigger a Rap Back notification.
FEDERAL BUREAU OF INVESTIGATION
FOI/PA
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FOI/PA# 1206916-0

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Page 88 ~ b5;
Page 97 ~ b5; b7E;
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Page 116 ~ b5; b7E;
Page 164 ~ b5; b7E;
Page 168 ~ b5; b7E;
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Advanced Fingerprint Identification Technology
- Increase the AFIS accuracy; improve the IAFIS criminal and civil response times; and create new IAFIS services
- Increase the number of searches the IAFIS can process per day, provide more efficient AFIS processing of flat and/or less than ten-rolled or flat fingerprint impressions, improve the latent processing services, and reduce the IAFIS out of service time

Enhanced IAFIS Repository
- Redesigning the IAFIS repositories will improve the overall effectiveness of the IAFIS, develop new and streamline existing internal user processes, and provide new search and response services to our customers

Rap Back
- A new service for authorized users to receive notification when criminal activity occurs on an individual who has previously undergone a fingerprint background check

National Palm Print System (NPPS)
- Provide ability to search a centralized national palm print database against latent palm prints found at crime scenes

NGI Direction
Phase I (six initiatives identified above)
- Study
- Implementation

Phase II
- Future NGI Initiatives
- Multimodal Fusion Capability
ENHANCED IAFIS REPOSITORY

The goal of the proposed Enhanced IAFIS Repository is to combine the records from the civil and criminal repositories into a single repository.

- **Current Functionality**
  - Transition, search, addition, consolidation, modification, expungement, response generation, and file maintenance of criminal and civil information
  - Provide the ability to search the civil records with remote latent fingerprint submissions
  - Support user required fingerprint search and notification capabilities
  - Provide extremely rapid search and response capabilities

The redesign will develop the authorized user ability to subscribe to an automatic notification when an enrolled subject has subsequent criminal or possibly civil activity and to cancel this rap back service for individuals as necessary. The redesign will provide automatic response generation capabilities for this Rap Back Program.
Next Generation IAFIS Background

The Next Generation IAFIS (NGI) will be a major upgrade to the current IAFIS that will provide new functionality, as well as, improve upon current functionality. The NGI, because it is a major upgrade to the existing IAFIS, was included in the previous IAFIS OMB 300 submission. This year, the NGI was separated from the IAFIS Exhibit 300 for Management Control purposes based on guidance from the FBI's Office of the Chief Information Officer (OCIO).

Implementation of the NGI enhancements will benefit the law enforcement community and non-criminal justice agencies by providing functionality that currently does not exist and expanding and/or improving the existing IAFIS services. Although CJIS/FBI has the largest and most state-of-the-art fingerprint identification system in the world, exceptions and spoofing of a single biometric identifier offers threats which demand safeguards. Fusion of multiple biometrics will further improve matching performance and accuracy protecting the integrity of a thorough criminal or terrorist related background check. The NGI initiative will study the integration strategies and indexing of additional biometric data which will support a futuristic multimodal system. Furthermore, NGI will identify storage opportunities via the appropriate standard to grow repositories containing various kinds of biometric information, prior to the integration of multimodal searching. Finally, and more specific to the current biometric data collected by CJIS, NGI will identify near-term opportunities for multimodal searching of the Interstate Identification Index (III) Photo File, the Fingerprint Criminal Master File, and the NGI Palm Print Repository.

The following summaries are provided to describe each of the NGI initiatives:

Enhanced IAFIS Repository
The Enhanced IAFIS Repository recommends consolidating the records for subjects with multiple records. The project will also offer a new service to authorized users who desire immediate notification when a person of interest may pose a threat to national security or the well being of others. This service is commonly referred to as the Rap Back Program. The entire project will require the CJIS Division to develop new functionality for the automated civil file, collectively locate civil history and criminal history information, and enhance the search, storage, file maintenance, and response generation capabilities.

Interstate Photo System Enhancements
The following recommended enhancements will increase the number of photos in the IPS; allow easier access to the photos by CJIS Division customers; and increase the IAFIS photo capabilities.

1. 

2. 

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Advanced Fingerprint Identification Technology
- Increase the AFIS accuracy; improve the IAFIS criminal and civil response times; and create new IAFIS services
- Increase the number of searches the IAFIS can process per day, provide more efficient AFIS processing of flat and/or less than ten-rolled or flat fingerprint impressions, improve the latent processing services, and reduce the IAFIS out of service time

Enhanced IAFIS Repository
- Redesigning the IAFIS repositories will improve the overall effectiveness of the IAFIS, develop new and streamline existing internal user processes, and provide new search and response services to our customers

Rap Back
- A new service for authorized users to receive notification when criminal activity occurs on an individual who has previously undergone a fingerprint background check

National Palm Print System (NPPS)
- Provide ability to search a centralized national palm print database against latent palm prints found at crime scenes

NGI Direction
Phase I (six initiatives identified above)
- Study
- Implementation
Phase II
- Future NGI Initiatives
- Multimodal Fusion Capability
## Next Generation IAFIS Comparison & Benefits

<table>
<thead>
<tr>
<th>Capability</th>
<th>Current IAFIS</th>
<th>Next Generation IAFIS</th>
<th>Benefits</th>
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<tbody>
<tr>
<td><strong>New AFIS Search Accuracy</strong></td>
<td>95% reliability rate</td>
<td>99.9% reliability rate</td>
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<tr>
<td><strong>New AFIS Fingerprint Requirements</strong></td>
<td>Ten rolled fingerprints only</td>
<td>Capability to process ten or fewer fingerprints, flat or rolled</td>
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<tr>
<td><strong>New AFIS Search Capacity</strong></td>
<td>80,000 searches/day + 635 latent searches/day</td>
<td>200,000 searches/day + 1,000 latent searches/day</td>
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<td><strong>Quality Check Function</strong></td>
<td>Manual</td>
<td>Automated</td>
<td></td>
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<tr>
<td><strong>Disposition Data (Criminal History Records)</strong></td>
<td>46% of arrest records</td>
<td>Significantly improved completeness of CHRI</td>
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<tr>
<td><strong>Automation of Document Processing</strong></td>
<td>Many manual processing steps are required</td>
<td>Automate consol, expungements, flashes, and misc. documents</td>
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<td><strong>IAFIS Repository Redesign</strong></td>
<td>Insufficient functionality</td>
<td>“Rap Back” capability, reorganization of records</td>
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<td><strong>IDENT/IAFIS</strong></td>
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Page 177 ~ b5; b7E;
Page 180 ~ b5;
Page 181 ~ b5;
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Page 187 ~ b5; b7E;
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Page 189 ~ b5; b7E;
Page 190 ~ b5; b7E;
Page 191 ~ b5; b7E;
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Page 222 ~ b5; b7E;
Page 223 ~ b5; b7E;
Page 224 ~ b5; b7E;
Page 225 ~ b5; b7E;
Rap Back Use Cases  
Last Updated June 10, 2009

Enrollment

For each Rap Back enrollment, information will be included which specifies an expiration date for the Rap Back Service (an indefinite expiration date would be valid), the types of transactions (e.g., criminal, civil, external system) for which a response is requested, whether notifications should be provided for in-state transactions, whether pre-notification or immediate notification should be provided, whether the notification content should be only the triggering event or the Identification Record and any additional agencies to receive notifications.

1. Civil submission, retain civil submission, enroll in Rap Back Service

A local school district is in process of hiring new teachers for the upcoming school year. As a final step in the selection, state and federal criminal records checks are performed to determine if the candidate has been convicted of any offenses which would disqualify the applicant from being hired in this position of trust.

2. Civil submission, retain civil submission

A local school district is in process of hiring new teachers for the upcoming school year. As a final step in the selection, state and federal criminal records checks are performed to determine if the candidate has been convicted of any offenses which would disqualify the applicant from being hired in this position of trust.
3. Enroll in Rap Back Service previously retained civil submission

A local school district is in process of hiring new teachers for the upcoming school year. As a first step in the selection, state and federal criminal records checks are performed to determine if the candidate has been convicted of any offenses which would disqualify the applicant from being hired in this position of trust. Previously (see use case 2), the school district submitted an applicant submission for the candidate and requested the NGI system retain the civil submission. The school district has decided to hire the candidate.

4. Criminal submission, retain criminal submission, enroll in Rap Back Service

An individual has been convicted of a criminal offense and sentenced to three years probation. The probation order, in part, prohibits the individual from any further criminal conduct and restricts the individual from leaving the state without court permission. To assist in enforcing the probation order, the probation office chooses to use the FBI's NGI Rap Back Service.

5. Criminal submission, retain criminal submission

Note: This example is current practice and is not changed by the Rap Back Service.
An individual is arrested. As with all arrestees, the individual is booked, including livescan fingerprinting. The fingerprints, biographical, and criminal information is electronically transmitted to the SIB and the FBI's NGI system to determine the individual's identity and any previous criminal record.

6. Enroll in Rap Back Service previously retained criminal submission

An individual has been convicted of a criminal offense and sentenced to probation. His fingerprints were submitted to the SIB and the FBI's NGI system at the time of his arrest. The NGI system retained the previous arrest fingerprint submission. The probation office has the individual's Universal Control Number (UCN) from the NGI system response provided from the arrest fingerprint submission. The probation order, in part, prohibits the individual from any further criminal conduct and restricts the individual from leaving the state without court permission. The probation office chooses to enroll the individual in the Rap Back Service.

Notifications and Responses

For each Rap Back enrollment, information will be included which specifies an expiration date for the Rap Back Service (an indefinite expiration date would be valid), the types of transactions (e.g., criminal, civil, external system) for which a response is requested and whether notifications should be provided for in-state transactions. If a submission is received for an NGI record enrolled in the Rap Back Service, a determination will be made if the current submission meets these three requirements.

If the submission meets these three requirements, a response (or multiple responses if additional ORIs have been designated to receive notifications) will be
sent to the SIB. If the submission does not meet the requirements set in the Rap Back Service, no response will be sent to the SIB.

Use cases 7, 8, and 9 apply for a submission which meets the three requirements. Use cases 8 and 9 also apply when the Rap Back agency responds to a pre-notification response with a message, via the SIB, which confirms their continued interest in the individual and request the Rap Back notification.

7. Pre-notification
The NGI system receives a submission for an NGI record which has been enrolled in the Rap Back Service. The submission meets the criteria set by the Rap Back agency (expiration date, type of transaction and with respect to instate transactions) and the Rap Back agency has selected to receive pre-notifications.

8. Response – Current Transaction Only
The NGI system receives a submission for an NGI record which has been enrolled in the Rap Back Service. The submission meets the criteria set by the Rap Back agency (expiration date, type of transaction and with respect to instate transactions) and the Rap Back agency has selected to receive the current transaction only in their notifications.

9. Response – Complete Identification Record
The NGI system receives a submission for an NGI record which has been enrolled in the Rap Back Service. The submission meets the criteria set by
the Rap Back agency (expiration date, type of transaction and with respect to instate transactions) and the Rap Back agency has selected to receive the complete Identification Record in their notifications.

10. Expungement Notification

The NGI system receives an expungement order from an SIB. The NGI record related to the expungement is enrolled in the Rap Back service. As part of processing the expungement, the NGI system notifies agencies enrolled in the Rap Back Service of the expungement.

11. Pre-notification Response

After receiving a Rap Back pre-notification, the Rap Back agency determines the individual they enrolled in the Rap Back Service is still employed by their agency and request the Rap Back notification (Use cases 8 and 9).

12. Impending Expiration Date

The NGI system notifies the Rap Back agency that a Rap Back record they have enrolled in the Rap Back Service has an expiration date which will expire in the near future.
13. Rap Back Maintenance

Agencies will have the ability to view, modify and terminate their Rap Back Enrollment information. Agencies will be able to modify their selections with respect to:

- Expiration date
- Types of transactions to be notified
- Notification of in-state transaction
- Additional ORIs to receive notification
- Pre-notification

14. Identity History Summary

Agencies will be able to obtain an Identity History Summary for an individual they have enrolled in the NGI Rap Back Service.

Scenarios

A local school district is in process of hiring new teachers for the upcoming school year. As a final step in the selection, state and federal criminal records checks are performed to determine if the candidate has been convicted of any offenses which would disqualify the applicant from being hired in this position of trust. The school district enrolls the individual in the NGI Rap Back Service. They set the expiration date for July 1, 2014, elect to receive pre-notifications, receive notifications of all criminal activity and to receive notification of the current activity only.
On April 16, 2013, the NGI system receives a criminal submission for the individual enrolled in the Rap Back Service. The submission meets the criteria set by the school district (expiration date, type of transaction and with respect to instate transactions).
NGI Implementation Schedule

Piano chart – High level milestones

NGI is a 10-year program; 7 development, 3 O&M

Busy time for the program w/3 Increments in flight...

Increment 0 - Advanced Technology Workstations (ATW) - Completed March 26, 2010.

Increment 1 - Increased accuracy (99% true match rate) of fingerprint search results & provides better support for processing flat and rolled fingerprints

Increment 2 – Repository for Individuals of Special Concern (RISC)
Rapid mobile searches of the worst of the worst
Supports mobile fingerprint identification operations on a national level

Increment 3 – Palm print Repository and additional Latent functionality (latent palm searches)
Provides reverse or cascaded of incoming transactions against unsolved latent and palm files

Increment 4 – Enhanced photo repository and searches of scars, marks, and tattoos (SMT)/photos;
RAP Back functionality
Biometric Interoperability
Replacement of IAFIS
Implements interoperability solutions with the Department of Homeland Security

Increment 5 – Iris Pilot

Increment 6 - Technology refresh
Rap Back, Facial, SMT Search Capabilities, Migration of Remaining IAFIS Functionality (Increment 4)

**Status**
- Rap Back
- Facial Search
- Text based scars, marks, and tattoo (SMT) searches
- Enhanced Interoperability
- Fingerprint verification services
- Improved response times
- Target Deployment - Summer, 2014

**Resulting Benefits**
- Enhance public safety
- National level investigative searches of photos/SMTs
- More accurate and complete criminal history records
- Flexible and scalable architecture for future needs

Inc 4 is in its infancy, system engineering phase
A bulletized list of future deliverables, essentially placeholders for to status later through Inc 4 development

Inc 4 is a BIG Inc!

In addition to these deliverables, Inc 4 will subsume the existing functionality of IAFIS; such as:

III, EFCON, ITN, IDWH, etc...

**Target milestone for Inc 4 is Summer of 2014**

**INCREMENT 4 (2014)**

The NGI Program Office has begun working towards Increment 4.

In Increment 4, all remaining IAFIS functionality resulting in Full Operational Capability (FOC), which includes the high priority functionality previously delivered as QUICKWINS, will be migrated to the NGI architecture. The expansion of the facial and scars, marks, and tattoos search will be included in this increment. The verification transaction will enable users to submit a transaction to confirm an identity based on a one-to-one comparison.

The Enhanced IAFIS Repository (EIR) will be operational supporting the unique identity concept and Rap Back capability. As a new feature, the Rap Back Service will provide authorized criminal justice and non-criminal justice users the capability to receive subsequent notification of criminal activity posted to an enrolled individual's record.

NGI will include criminal and civil submissions, biometric submissions, special population files, unsolved latent/biometric files, etc. A **unique identity reference (alphanumeric character)** will identify and collectively locate individuals contained within the files.

Additionally, disposition reporting via the CJIS WAN will be included with this Increment and will **lead to more complete criminal history records**.

This Increment will also include the shared services to provide Department of Homeland Security interoperability.

Full replacement of the IAFIS.
Rap Back Activities

- Reviewing Best Practices and Lessons Learned
  - Currently identified states with Rap Back business lines
  - Strategic discussions to align with a national implementation
- Identifying Policy Focus Areas
- Going Forward
  - Engage Law Enforcement Partners
  - Continue working with Subject Matter Experts

We’re reaching out to the States & engaging with Law Enforcement Partners

We’ve conducted numerous teleconferences with the chairs of the IIETF and Rap Back Task Force and other stakeholders

Staff has been directed to:
- Capturing Best Practices and Lessons Learned
  - Currently identified states with Rap Back business lines
  - Strategic discussions to align with a national implementation
- Identifying Policy focus areas
  - Varying interpretations of Validation, and subsequently varying methods of executing validation
  - Differences in operational implementations between closed and open states
- Going Forward
  - Working through the IIETF to keep information flowing regarding necessary technical changes
  - The Task Force will be the driver to identify and resolve differences and gaps in policy/administration/operations
  - Continue working with Subject Matter Experts
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Requirements Management Plan

Benefits:

**Disposition Reporting Improvements (DRI)**
Current IAFIS: 46% of arrest records have disposition data. There are the following three ways to submit disposition information:

- United State Postal Service
  - State and Federal Court Orders
  - Computerized Forms devised and approved by the State.
  - Identification Bureau
  - R-84 Final Disposition Report
- Machine Readable Data (MRD), III
- Including disposition information with the initial fingerprint submission

NGI: Provides electronic alternatives for submitting disposition data to IAFIS

Benefits:

**Enhanced IAFIS Repository (EIR)**
Current IAFIS: Two logical areas, Criminal and Civil File; the entire Civil File is not electronically maintained:

NGI: "Rap Back" capability; reorganization of records; ability to handle unique national security needs; able to retain flat fingerprints

Benefits:
Requirements Management Plan

• **Quality Check Automation (OCA)**
  Current IAFIS: Manual
  NGI: Automated
  Benefits: 

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  Benefits: 

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Requirements Management Plan

- **Interstate Photo System (IPS) Enhancements**

  Current IAFIS:

  NGI: Increased number of photo sets accepted; new avenues to add and retrieve photos; ability to search for facial, scar, mark, or tattoo photos

  Benefits:

- **FBI National Palm Print System (NPPS)**

  Current IAFIS: 

  NGI: Will allow IAFIS to accept, store and search palm print submissions

  Benefits:

3.0 Roles and Responsibilities

The Roles and responsibilities in this section are in addition to those defined in the Program Management Plan.

The following are program/project requirements defined and controlled by NGIPO:

- Initiatives and/or Functional Requirements - These should be functionally stated and are comprised of three parts: an action, an object, and a purpose for the action.

- Business Rules - Business rules will be classified as Facts, Constraints, Triggers (or control gates), Computations, and Inferences (inductive and deductive reasoning).
Requirements Management Plan

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  Benefits:

Version 1.0
-4-
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3.0 Roles and Responsibilities

The NGIPO retains oversight for the entire program. This includes, but is not limited to, approval of any and all technical requirements, implementation, testing, and final acceptance of deliverables, documents, components, subsystems, and systems. The roles and responsibilities in this section are in addition to those defined in the NGI Program Management Plan.

The following are program/project requirements defined and controlled by NGIPO:

- Initiatives and/or functional requirements - Requirements are comprised of three parts: an action, an object, and a purpose for the action. All valid requirements must have traceability to the NIG Mission, Goals, and Objectives.
- Business Rules - Business rules will be classified as Facts, Constraints, Triggers, control gates, Computations, and Inferences (inductive and deductive reasoning).

The following are product-engineering activities are performed by Information Technology Management Section (ITMS) Technical Project Management Office (TPMO):

- Technical Requirements Development and Specification
- System Design and Implementation
- Conformance with all security requirements and Federal Enterprise Architecture guidance
- Coordination with the IAFIS Technical Review Board (TRB)
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Scope Management Plan

• **Quality Check Automation (QCA)**
  
  Current IAFIS: Manual
  
  NGI: Automated
  
  Benefits: 

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Scope and Requirements Management Plan

Normal Mode is when all components of a computer system are operating within specified parameters. [MIL-STD-721C]

A prototype is a preliminary type, form, or instance of a product or product component that serves as a model for later stages or for the final, complete version of the product. This model (physical, electronic, digital, analytical, etc.) can be used for the following (and other) purposes:

- Assessing the feasibility of a new or unfamiliar technology
- Assessing or mitigating technical risk
- Validating requirements
- Demonstrating critical features
- Qualifying a product
- Qualifying a process
- Characterizing performance or product features
- Elucidating physical principles

[IEEE 610.12-1990]

A quality attribute is a type of non-functional requirement that describes a quality or property of a system. Examples include usability, portability, maintainability, integrity, efficiency, reliability, and robustness. Quality attribute requirements describe the extent to which a software product demonstrates desired characteristics, not what the product does. [Wiegers' Software Requirements]

Rap Back is the capability to notify authorized agencies of a fingerprint submission to IAFIS so that the agency can take appropriate action.

A requirement is a statement of a customer need or objective, or of a condition or capability that a product must possess to satisfy such a need or objective (e.g., a property that a product must have to provide value to a stakeholder. [Wiegers' Software Requirements]

A requirement attribute provides descriptive information about a requirement that enriches its definition beyond the statement of intended functionality. Examples include origin, rationale, priority, owner, release number, and version number. [Wiegers' Software Requirements]

Requirements allocation is the process of apportioning system requirements among various architectural subsystems and components. [Wiegers' Software Requirements]

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**Scope creep** is a condition in which the scope of a product continues to increase, typically in an uncontrolled fashion, throughout the development process. [Wiegers' Software Requirements]
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Scope and Requirements Management Plan

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  - Including disposition information with the initial fingerprint submission

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Benefits:

- Quality Check Automation (QCA)
  Current IAFIS: Manual
  NGI: Automated

Benefits:

3.0 Roles and Responsibilities

The NGIPO retains oversight for the entire program. This includes, but is not limited to, approval of any and all technical requirements, implementation, testing, and final acceptance of deliverables, documents, components, subsystems, and systems. The roles and responsibilities in this section are in addition to those defined in the NGI Program Management Plan.
Scope and Requirements Management Plan

Benefits:

- **Disposition Reporting Improvements (DRI)**
  Current IAFIS: 46% of arrest records have disposition data. There are the following three ways to submit disposition information:
  - United State Postal Service
  - State and Federal Court Orders
  - Computerized Forms devised and approved by the State Identification Bureau
  - R-84 Final Disposition Report
  - Machine Readable Data (MRD), III
  - Including disposition information with the initial fingerprint submission
  NGI: Provides electronic alternatives for submitting disposition data to IAFIS

Benefits:

- **Enhanced IAFIS Repository (EIR)**
  Current IAFIS: Two logical areas, Criminal and Civil File; the entire Civil File is not electronically maintained;
  NGI: "Rap Back" capability; reorganization of records; ability to handle unique national security needs; able to retain flat fingerprints

Benefits:

- **Quality Check Automation (QCA)**
  Current IAFIS: Manual
  NGI: Automated
Scope and Requirements Management Plan

NGI: Increased number of photo sets accepted; new avenues to add and retrieve photos; ability to search for facial, scar, mark, or tattoo photos

Benefits:

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Scope and Requirements Management Plan

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Benefits:
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Page 91 ~ b7E;
Page 92 ~ b7E;
Page 136 ~ b7E;
Page 137 ~ b7E;
Page 138 ~ b7E;
Page 189 ~ b7E;
Page 190 ~ b7E;
Page 191 ~ b7E;
Page 192 ~ b7E;
Page 193 ~ b7E;
Page 250 ~ b7E;
Page 255 ~ b7E;
Page 289 ~ b7E;
Page 290 ~ b7E;
Page 291 ~ b7E;
Page 292 ~ b7E;

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FOI/PA# 1206919-0

Total Deleted Page(s) = 9
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Page 176 ~ b5; b7E;
Page 220 ~ Duplicate;
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Page 321 ~ Duplicate;
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**Increment 0: Advanced Technology Workstations**
Increment 0 will implement advanced technology workstations for IAFIS Service Providers, Latent Examiners, and System Administrators. Rollout of these workstations in Increment 0 will provide a refreshed hardware platform to utilize future NGI Human Machine Interfaces (HMI) while preserving access to all legacy HMIs. The rolling deployment schedule begins in November 2009 and will continue through March 2010.

**Increment 1: Identification Fingerprint**
Increment 1 will support increased accuracy of fingerprint search results and provide better support for processing flat and less than ten fingerprint submissions.

**Increment 2: RISC & Initial NGI Infrastructure**
Increment 2 will deploy the initial NGI infrastructure and the initial capability for the RISC. With this initial implementation of the RISC, NGI will accept rapid RISC searches from the CJIS Wide Area Network (WAN) and perform a cascaded search of the RISC for all tenprint identification searches.

**Increment 3: Latent, Palms & Full NGI Infrastructure**
Increment 3 will provide investigative capabilities for fingerprint, palmprint, and supplemental fingerprint/palmprint. All IAFIS latent functionality will be hosted on the NGI infrastructure and the National Palm Print System will be provided as part of this increment.

**Increment 4: Photos, Rap Back, IAFIS Migration**
In Increment 4, all remaining IAFIS functionality, which includes the high priority functionality previously delivered as QUICKWINS, will be migrated to the NGI architecture. At a minimum, IAFIS response and accuracy requirements will be met or exceeded, however, the advanced NGI response and accuracy requirements will be realized in Increment 6. The expansion of the facial and scars, marks, and tattoos search will be included in this increment. The verification transaction will enable users to submit a transaction to confirm an identity based on a one-to-one comparison. The Enhanced IAFIS Repository (EIR) will be operational supporting the unique identity concept and Rap Back capability. Additionally, disposition reporting via the CJIS WAN will be included with this increment as will the shared services to provide DHS interoperability.

**Increment 5: Full User Functionality**
Increment 5 will accomplish full deployment of all the NGI functional requirements and will include implementation of the new iris recognition capability.

**Increment 6: Performance Validation**
Increment 6 will achieve Full Operational Capability for the NGI. All performance specifications will be met or exceeded as the final increment is delivered.

2.3 Trade Studies
Identification Fingerprint and Slap Fingerprint Segmentation FY08 Q4 – FY09 Q2
UNCLASSIFIED

Integrated Master Schedule

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- **Contract Years**
- **System Design**
- **Advanced Technology Workstations**
- **RISC Prototype**
- **Identification**
- **Fingerprint**
- **RISC & Initial NGI Infrastructure**
- **Latent, Palms, & Full NGI Infrastructure**
- **Photos, Rap Back, IAFIS Migration**
- **Iris Pilot**
- **O&M Tech Refresh**
- **Biometric Search Analysis Studies**

**Biometric Search Analysis Studies link to the Planned Contract Modifications.**

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June 13, 2011
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<td>IAFIS shall accept a Direct Rap Back Enrollment request with a UCN from an Authorized FBI Service Provider.</td>
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<td>SFR1366</td>
<td>IAFIS shall require, as part of a Direct Rap Back Enrollment request, a designation of which event type(s) (e.g., civil, criminal, external system) will trigger Rap Back Notifications for the associated identity.</td>
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<td>SFR1367</td>
<td>IAFIS shall accept, as part of a Direct Rap Back Enrollment request, a Rap Back subscription expiration date for the associated identity.</td>
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<td>SFR1368</td>
<td>IAFIS shall accept, as part of a Direct Rap Back Enrollment request, a designation of the Authorized Contributor(s) that should receive Rap Back Activity Notifications for the associated identity.</td>
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<td>SFR1369</td>
<td>IAFIS shall accept an indicator on a Direct Rap Back enrollment request that specifies an Identity History Summary should be included with the Direct Rap Back Enrollment response.</td>
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<td>IAFIS shall accept Direct Rap Back Enrollment requests in bulk via multiple methods (e.g., IP, CD, DVD).</td>
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### APPENDIX B - INCREMENTAL REQUIREMENTS ALLOCATION

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<td>IAFIS shall provide a direct Rap Back Enrollment response to an Authorized Contributor in accordance with the latest EBTS version.</td>
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<td>IAFIS shall provide the appropriate direct Rap Back Enrollment response to an Authorized FBI Service Provider.</td>
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<td>SFR2099</td>
<td>IAFIS shall provide a collective response for Direct Rap Back Enrollment requests when submitted in bulk.</td>
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<td>SFR2024</td>
<td>IAFIS shall optionally include, on a Direct Rap Back Enrollment response, the Identity History Summary for the specified UCN.</td>
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<td>IAFIS shall accept a Rap Back Maintenance request from an Authorized Contributor in accordance with the latest EBTS version.</td>
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<td>IAFIS shall allow an Authorized FBI Service Provider to submit a Rap Back Maintenance request.</td>
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<td>IAFIS shall require a Rap Back Maintenance request to contain a UCN.</td>
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Source Selection Information - See FAR 2.101 and 3.104

Version 1.0
Amended FRO 12/21/07
Appendix C - 198
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IAFIS shall maintain Rap Back Notification rules.

Source Selection Information - See FAR 2.101 and 3.104
Version 1.0
Amended FRO 12/21/07
Appendix C - 199

August 15, 2007
Volume IV - Incremental Development Plan
Document #: CJIIS-NGI-2007-0003
## APPENDIX C - INCREMENTAL PERFORMANCE CAPABILITIES

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Source Selection Information - See FAR 2.101 and 3.104

Version 1.0

Amended FRO 12/21/07

Appendix C - 230
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</table>

Source Selection Information - See FAR 2.101 and 3.104

Volume IV - Incremental Development Plan

Document #: CJS-NGI-2007-0003

Version 1.0
Amended FRO 12/24/07
Appendix C - 231