

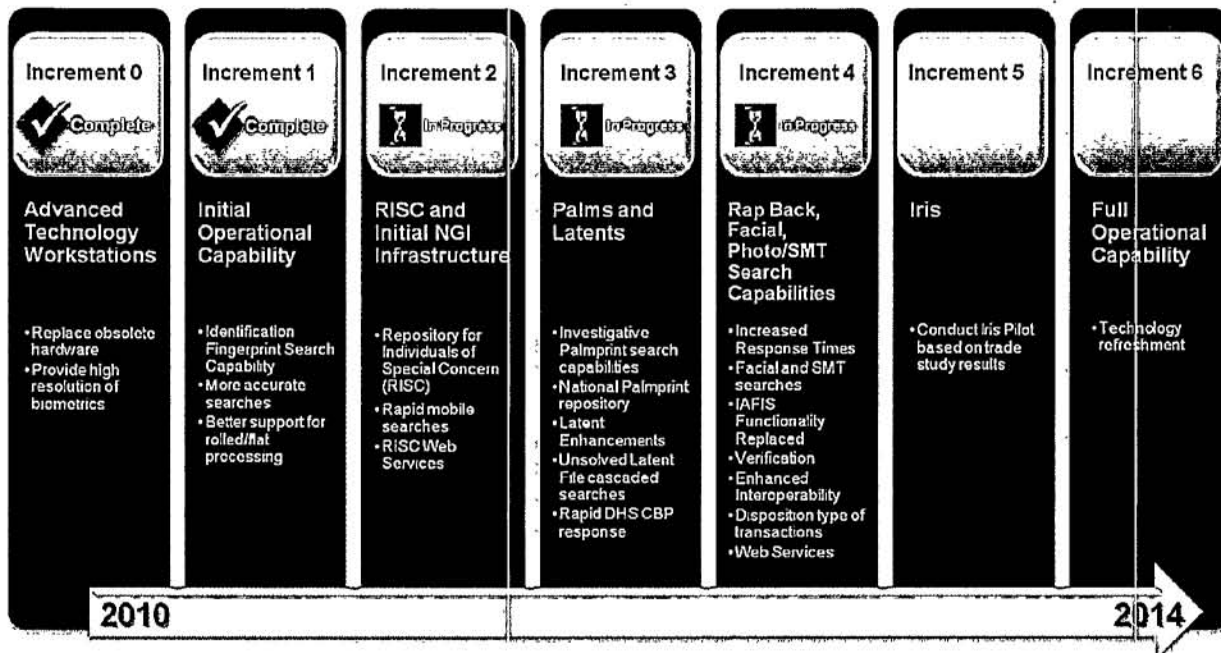
## Response to White House Domestic Policy Council

### 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



Unclassified//FOUO

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.

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Page 131 ~ b7E;

Page 159 ~ b7E;

Page 160 ~ b7E;

Page 161 ~ b7E;

Page 212 ~ b7E;

Page 213 ~ b7E;

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Page 216 ~ b7E;

Page 217 ~ b7E;

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## Rap Back Service



### **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.

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Slide 42

Unclassified



## Data Management Services



### Direct Rap Back Enrollment

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Slide 210

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## Data Management Services



### Rap Back Maintenance / Renewal

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Slide 214

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## NGI Workload

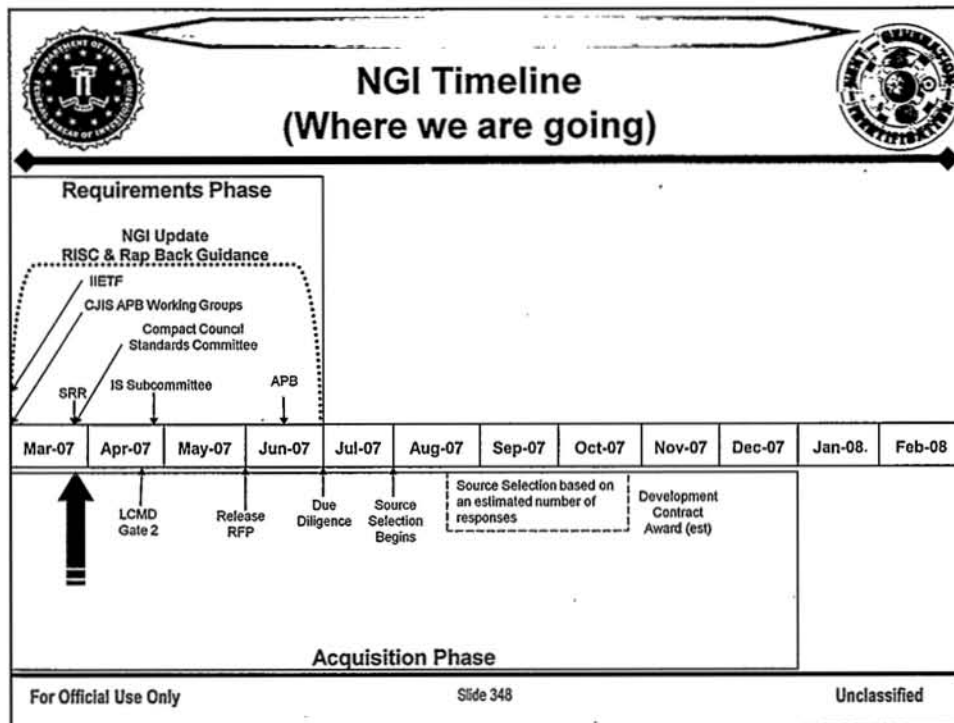


**Rap Back**

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Slide 341

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Page 145 ~ b7E;

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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



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12

### 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.

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## 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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9

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Page 39 ~ Referral/Direct;

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Page 99 ~ Duplicate - FOIA 1181716-1 - CJIS Box 6 Section 1;

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## *Quick Wins*

### **DHS and OPM**

#### **ISSUE:**

- Revetting

#### **QUICK WIN:**

- Interim Rap Back

8

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 20<sup>th</sup> 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

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## Initiative for CJIS.P4 – NGI Major Milestones or Tasks

Milestone/Task	% Complete	Start	End	Responsible
Increment 0 System Acceptance Review Advanced Technology Workstations	50	02/25/09	09/14/09	ASC [REDACTED]
Increment 1 System Acceptance Review * Identification Fingerprint	22	02/26/09	06/05/10	ASC [REDACTED]
Initial Operating Capability *	0	12/06/10	12/06/10	ASC [REDACTED]
Increment 2 System Acceptance Review RISC and Initial NGI Infrastructure	0	10/14/09	02/22/11	ASC [REDACTED]
Increment 3 System Acceptance Review Latent, Palms, and Full NGI Infrastructure	0	03/08/10	09/30/11	ASC [REDACTED]
Increment 4 System Acceptance Review Photos Rap Back and IAFIS Migration	0	08/30/10	11/28/12	ASC [REDACTED]
Increment 5 System Acceptance Review Full User Functionality	0	03/02/11	09/26/13	ASC [REDACTED]
Increment 6 System Acceptance Review Performance Validation	0	09/27/11	09/26/13	ASC [REDACTED]
Full Operating Capability	0	06/05/14	06/05/14	ASC [REDACTED]

\* Increment 1 SAR and IOC dates are expected to change due to results of the Trade Study. Expected completion date of revised schedule is mid July 2009.

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

8

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Increment 0 - Advanced Technology Workstation  
Functionality - Replace Service Provider workstation  
Benefit - Use of commodity platform for HMI 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 Scars, Marks, and Tattoos (SMT) search / Disposition reporting via CJIS WAN and NCIC / Unique identity / RISC notifications / Fingerprint verification Services / All legacy HMI 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



**NGI**

## **Capabilities**

- **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

57

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•**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 [redacted] of 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 [redacted] to an average of [redacted]

b7E

•**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 [redacted] 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



**Homeland  
Security**

**DRAFT**





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IDENTIFICATION



# Compact Council Rap Back Task Force March 23, 2010

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# Rap Back Service



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

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# Rap Back Service Components



**Notification**

**Expiration Date**

**Subscription Renewal**

**Notification**

**Type of Activity**

**In-State Activity**

**Additional Agencies**

**Subscription List**

**Maintenance**

**User Fees**

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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

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# Rap Back Service Background Progress to Date

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# Rap Back Service Milestones



September 2005 – March 2006	Requirements Canvassing
February 2006 & April 2006	IAFIS Interface Evaluation Task Force (IIETF)
April 2006	IS Subcommittee
May 2006	Compact Council
April 2006	APB Meeting

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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

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# 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

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# **Rap Back Service Ten Areas Examined**

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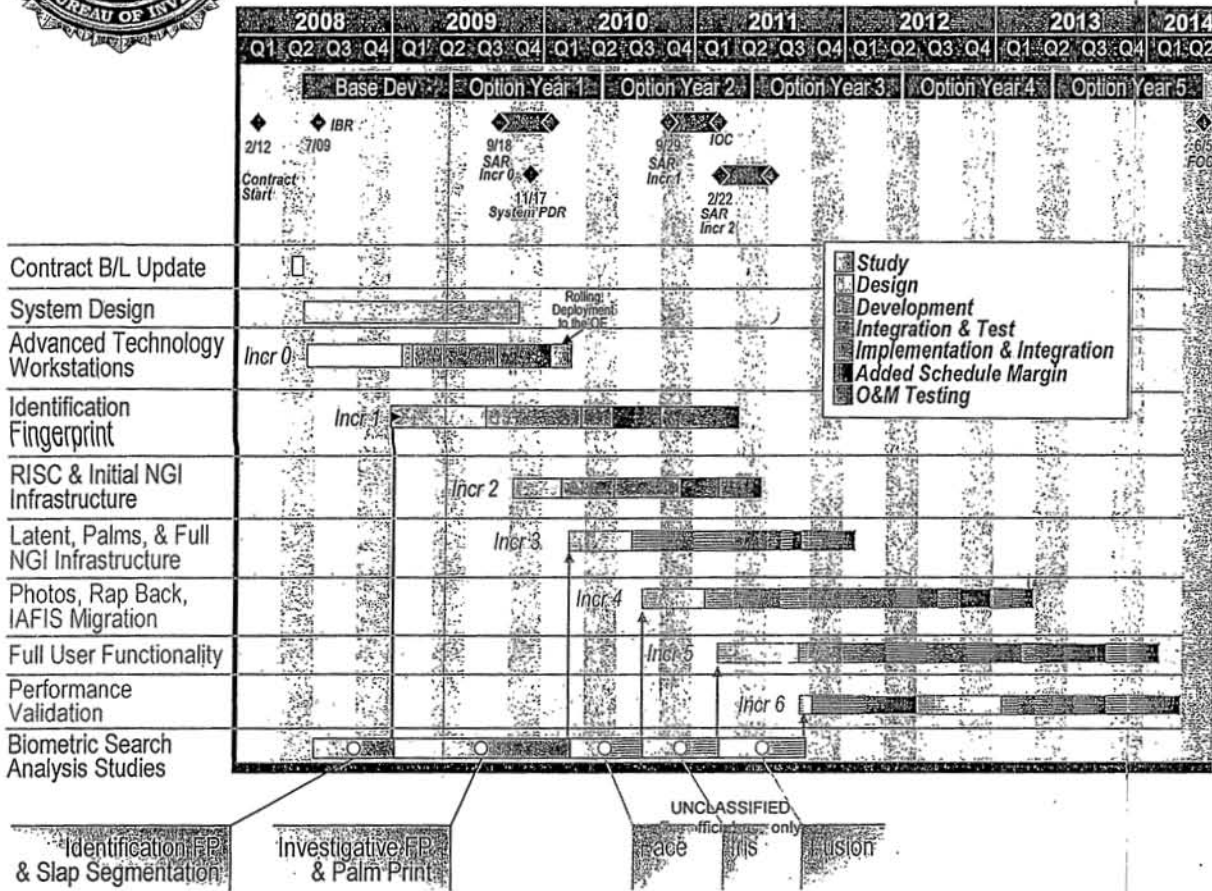


**# 1**

# **NGI Increment 4 Timeline Projected Implementation Schedule**

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# 2



***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. NCI to consider unique TOT for Rap Back enrollment.

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# 2a



***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.

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# 3

## Rap Back Triggers



### 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.

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# 3a



## Notification of Disposition

### 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.

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## # 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.



# 4

## Pre-Notification Data Elements



Compact Council Rap Back Task Force:  
Defined data elements.

Compact Council Policy and Planning Committee:  
Concurred.

Compact Council: Concurred.

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**# 4**



## **Triggering Event Notification Data Elements**

Compact Council Rap Back Task Force:  
Defined data elements.

Compact Council Policy and Planning Committee:  
Concurred.

Compact Council: Concurred.





**# 4**



## **Highlighting of Triggering Event within Identity History Summary**

Compact Council Rap Back Task Force:  
Defined methodology.

Compact Council Policy and Planning Committee:  
Concurred.

Compact Council: Triggering event should NOT be 7  
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.



## # 6

# 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.

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# 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.



**# 8**



## **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.

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**# 9**



## **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.



# 10



## 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

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27





# Rap Back Service



- Volume Projections
- Percentage of applicants to be enrolled
- Future growth

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# Rap Back Service



- Discussion of state issues

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**NEXT GENERATION IDENTIFICATION  
Rap Back Service  
White Paper**

**Compact Council Rap Back Task Force**

**Date of Last Revision  
August 5, 2009**

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## 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.

*Classification  
pertained to  
new distribution  
authorized, same  
purpose*

**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.

*off copy*

*FD-258 notice  
updated*

**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.  
*criminal retain  
- want  
- SCR  
- civil (SCIA)  
Expung/Purge/Se  
- III ownership  
- External Link*
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. *Data Elements*
5. Providing civil information in response to civil submissions. This is expected to be limited to criminal investigative and national security purposes. *NO*
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.



NEXT  
GENERATION  
IDENTIFICATION



b5  
b7E

**Compact Council Rap Back  
Task Force  
August 11 – 12, 2009**



NEXT  
GENERATION  
IDENTIFICATION



**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

3



## **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

4



## Rap Back Service Milestones



Date	Activity
September 2005 – March 2006	<u>Requirements Canvassing</u> - 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.
February 2006 & April 2006	<u>IAFIS Interface Evaluation Task Force (IETF)</u> - 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 reconvened 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.

5



## Rap Back Service Milestones



Date	Activity
April 2006	<u>IS Subcommittee</u> - 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.
May 2006	<u>Compact Council</u> - The NGI Program Office provided an NGI update, specifically focusing on the NGI stakeholder requests collection and categorization.

6



## Rap Back Service Milestones



Date	Activity
June 2006	<u>APB Meeting</u> - Endorsed the NGI stakeholder requests and their categorization.
January 2007	<u>IETF</u> - Recommendations to enhance Rap Back Service.

7



## 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

8



## 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

9



## 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 ☐

10

b5  
b7E



## 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

11



NEXT  
GENERATION  
IDENTIFICATION



## Rap Back Service White Paper Overview



12





## 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

13



## Rap Back Service Terminology



Subscription  
Update  
Response  
Notification

14



## Rap Back Service Components



Notification	In-State Activity
Expiration Date	Additional Agencies
Subscription Renewal	Subscription List
Notification	Maintenance
Type of Activity	User Fees

15

b5  
b7E



## Rap Back Service Notification



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

16



## **Rap Back Service Expiration Date**



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

17



## **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

18



## **Rap Back Service**

### **Type of Activity**



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

19



## **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

20



## **Rap Back Service Additional Agencies**



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

21



## **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

22



## **Rap Back Service Subscription Maintenance**



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

23



## **Rap Back Service User Fees**



The Rap Back Service will need to ensure the necessary information is collected to support user fee billing

24



## 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

25

b5  
b7E



## 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

26



NEXT  
GENERATION  
IDENTIFICATION



## Rap Back Service Areas To Be Examined



27



NEXT  
GENERATION  
IDENTIFICATION

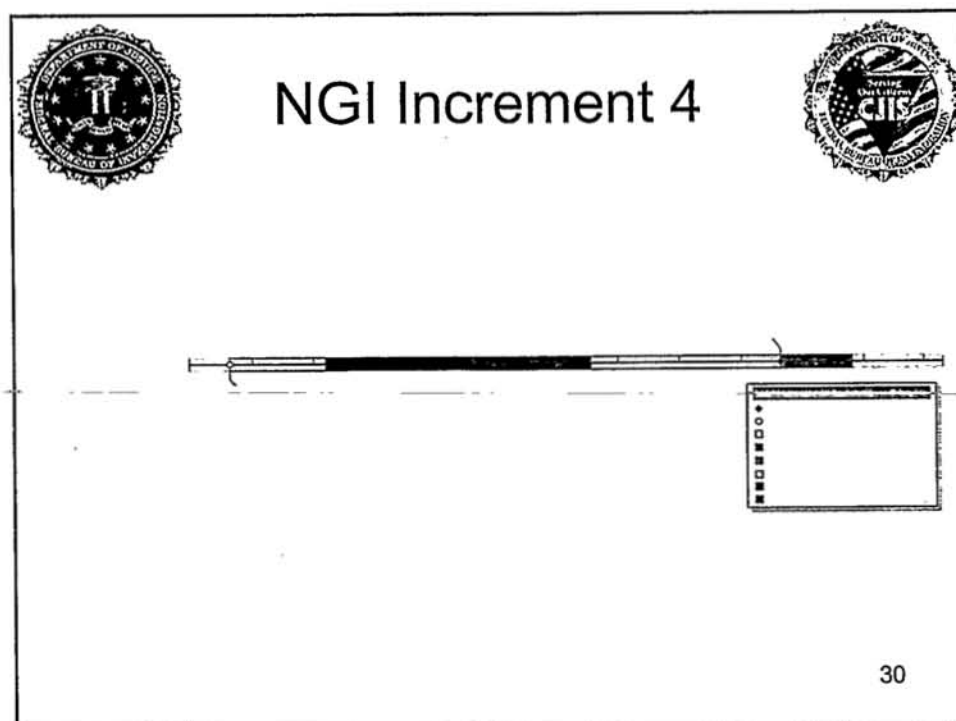
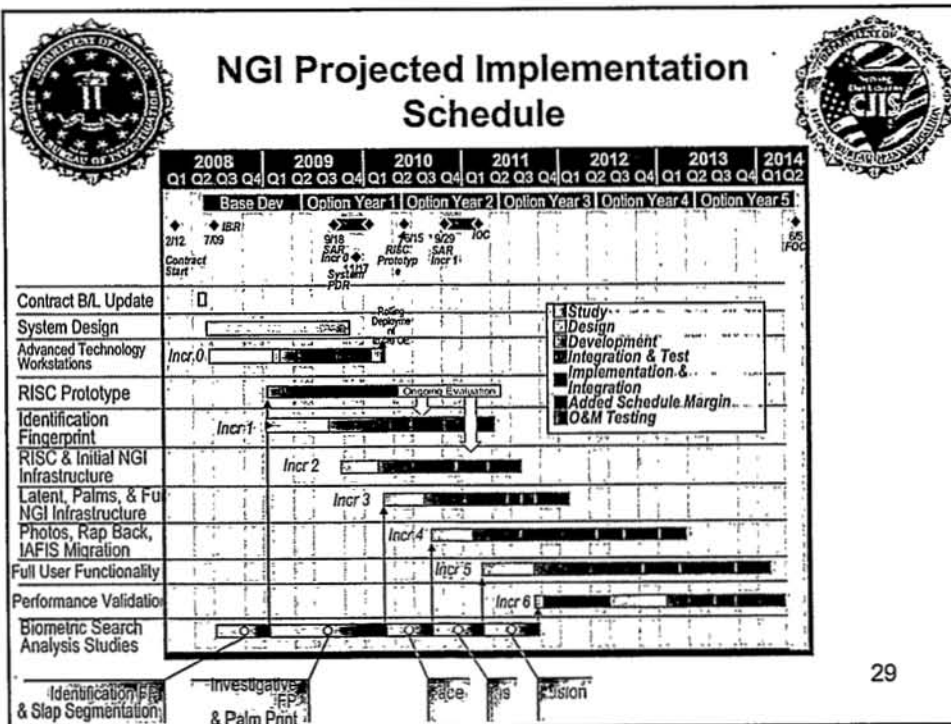


## Discussion Point #1 NGI Increment 4 Timeline



28







NEXT  
GENERATION  
IDENTIFICATION



## Discussion Point #2

### Civil Submission Requirements



31

b5  
b7E



## 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?

32



## 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/

33



NEXT  
GENERATION  
IDENTIFICATION



## Discussion Point #3

### Rap Back Service Triggers



34



## 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 [redacted]
  - Disposition [redacted]
  - Consolidation
  - Expungement
  - Purge
  - External System Activity

35



## Rap Back Service Triggers



- Criminal Fingerprint Identification Search [redacted]
- Civil Fingerprint Identification Search
  - Missing Person ? [redacted]
  - Amnesia Victim ? [redacted]
- Disposition Fingerprint Search
- EBTS Disposition Maintenance
- CPI Messages
- Purges/Expungements
- External System Activity

36

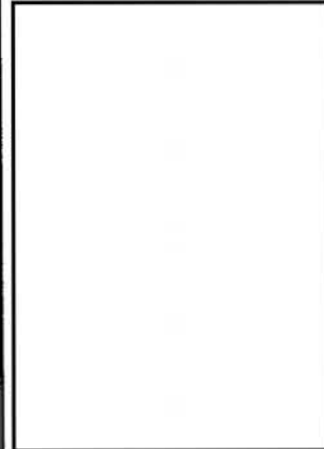
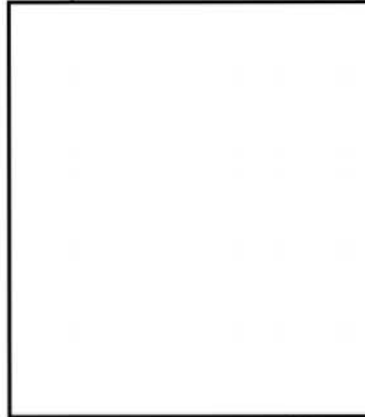


## Rap Back Service Triggers



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b7E

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



## Rap Back Service Triggers



- Need to define how to determine in-state activity





NEXT  
GENERATION  
IDENTIFICATION



## Discussion Point #4

### Rap Back Notifications



39

b5  
b7E



## Rap Back Service Notifications



Type of Notification <i>what we send out</i>	Information Needed
Pre-notification <i>what does TX send to us</i>	Data Elements in Response
Triggering Event	Data Elements in Response
Full Identity History Summary	Method to "highlight" triggering event

40



NEXT  
GENERATION  
IDENTIFICATION



b5  
b7E

## Discussion Point #5

### Providing Civil Information in Response to Civil Submissions

*or as Rep Back*



41



### Providing Civil Information in Response to Civil Submissions



- Limited use
  - National security
  - Criminal investigation

42



NEXT  
GENERATION  
IDENTIFICATION



## **Discussion Point #7**

### **Responses and Notifications When Individuals are No Longer of Interest**



45



### **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

46

b5  
b7E





NEXT  
GENERATION  
IDENTIFICATION



## Discussion Point #10

### Rap Back Service Fees



51



## Rap Back Service Fees



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

52



## 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

53



## Rap Back Service Fees



### Setting the Fee

- Authorizing language
- Cost Guidance

### Costing Guidance

- OMB's Circular A-25
- DOJ Fee Policy
- Federal Appropriations Law
- GAO "Federal User Fees"

54



## 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

55



## 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

56



## Rap Back Service Fees



### Reviewing the Costs

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

57



## Rap Back Service Fees



### 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

58



## 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?

59



## Rap Back Task Force



- Outstanding Issues
- ~~Action Items~~
- Concluding remarks

60

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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.

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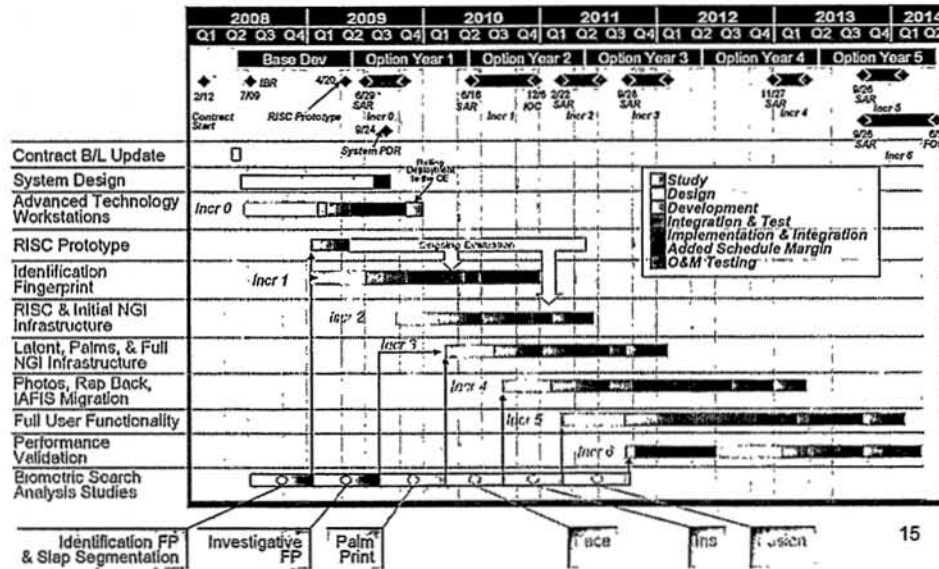
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# Projected Implementation Schedule

NEXT  
GENERATION  
IDENTIFICATION



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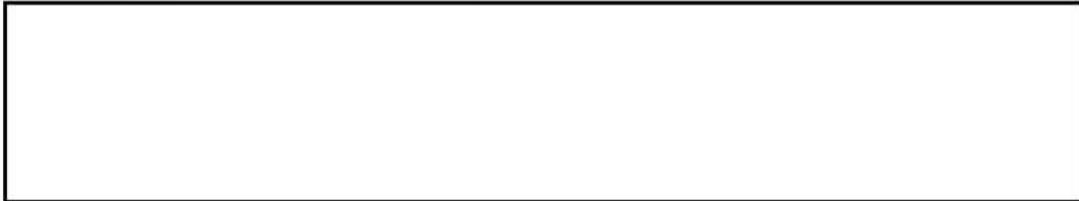
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- Electronically via the CJIS WAN
- Electronically via III
- Modernization of the Machine Readable Data (MRD) Process
- Federal Court submission directly to IAFIS

#### **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



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#### **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

- Increase the Number of Searches IAFIS Can Process per Day
  - Current IAFIS design specifications require the ability to process  ten-print submissions per day.
- Provide More Efficient AFIS Processing of Flat Fingerprint Impressions
  - Current IAFIS algorithms were designed for efficient processing of ten-rolled fingerprint impressions.
- Reduce the IAFIS Out-of-Service Time
  - IAFIS is operational 24 hours per day, seven days per week with the exception of periodic scheduled outages and occasional unscheduled outages.

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## 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

- 
- 
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The redesign will require one central IAFIS repository for fingerprint images and one central IAFIS repository for biographic data and criminal/civil history information that are capable of being searched, and maintained. Currently, there are subjects in the IAFIS who have more than one civil record. The Enhanced IAFIS Repository Project recommends consolidating the records for subjects with multiple records. The central repository design will facilitate the following:

- 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 IAFIS 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.



### **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



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### **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

Capability	Current IAFIS	Next Generation IAFIS	Benefits	
New AFIS Search Accuracy	95% reliability rate	99.9% reliability rate	•	
			•	
			•	
			•	
			•	
New AFIS Fingerprint Requirements	Ten rolled fingerprints only	Capability to process ten or fewer fingerprints, flat or rolled	•	
			•	
New AFIS Search Capacity	80,000 searches/day + 635 latent searches/day	200,000 searches/day + 1,000 latent searches/day	•	
			•	
Quality Check Function	Manual	Automated	•	
			•	
			•	
			•	
Disposition Data (Criminal History Records)	46% of arrest records	Significantly improved completeness of CHRI	•	
Automation of Document Processing	Many manual processing steps are required	Automate consol, expungements, flashes, and misc. documents	•	
			•	
			•	
IAFIS Repository Redesign	Insufficient functionality	"Rap Back" capability, reorganization of records	•	
			•	
			•	
IDENT/IAFIS			•	
			•	
			•	

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Page 175 ~ b5; b6; b7C; b7E;  
Page 176 ~ b5; b6; b7C; b7E;  
Page 177 ~ b5; b7E;  
Page 180 ~ b5;  
Page 181 ~ b5;  
Page 182 ~ b5;  
Page 183 ~ b5;  
Page 184 ~ b5;  
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Page 187 ~ b5; b7E;  
Page 188 ~ b5; b6; b7C; b7E;  
Page 189 ~ b5; b7E;  
Page 190 ~ b5; b7E;  
Page 191 ~ b5; b7E;  
Page 192 ~ b5; b7E;  
Page 193 ~ b5; b7E;  
Page 194 ~ b5; b7E;  
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Page 221 ~ b5; b6; b7C; b7E;  
Page 222 ~ b5; b7E;  
Page 223 ~ b5; b7E;  
Page 224 ~ b5; b7E;  
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# 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.*



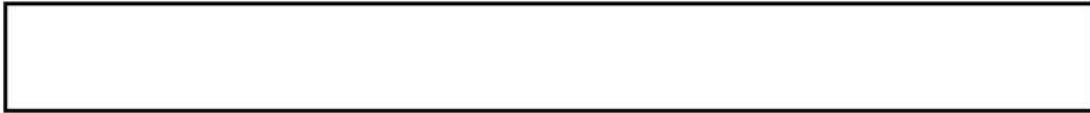
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### 2. Civil submission, retain civil submission

*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.*



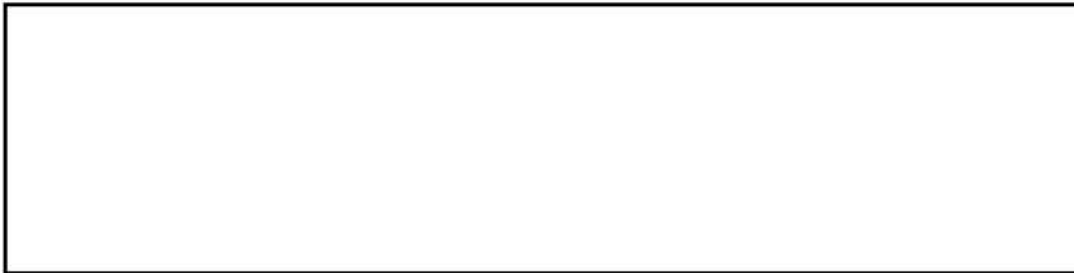
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**3. Enroll in Rap Back Service previously retained civil submission**

*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.*



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**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.*



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**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.*



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#### **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.*



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### **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.*



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**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.*



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**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.*



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#### **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.*



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#### **11. Pre-notification Response**

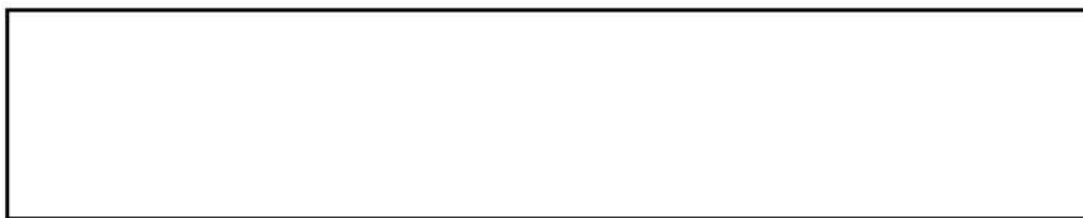
*After receiving a Rap Back pre-notification, the Rap Back agency determines the individual they enrolled in the Rap Back Service is still employed by their agency and request the Rap Back notification {Use cases 8 and 9}.*



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#### **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.*



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### 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*



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### 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.*

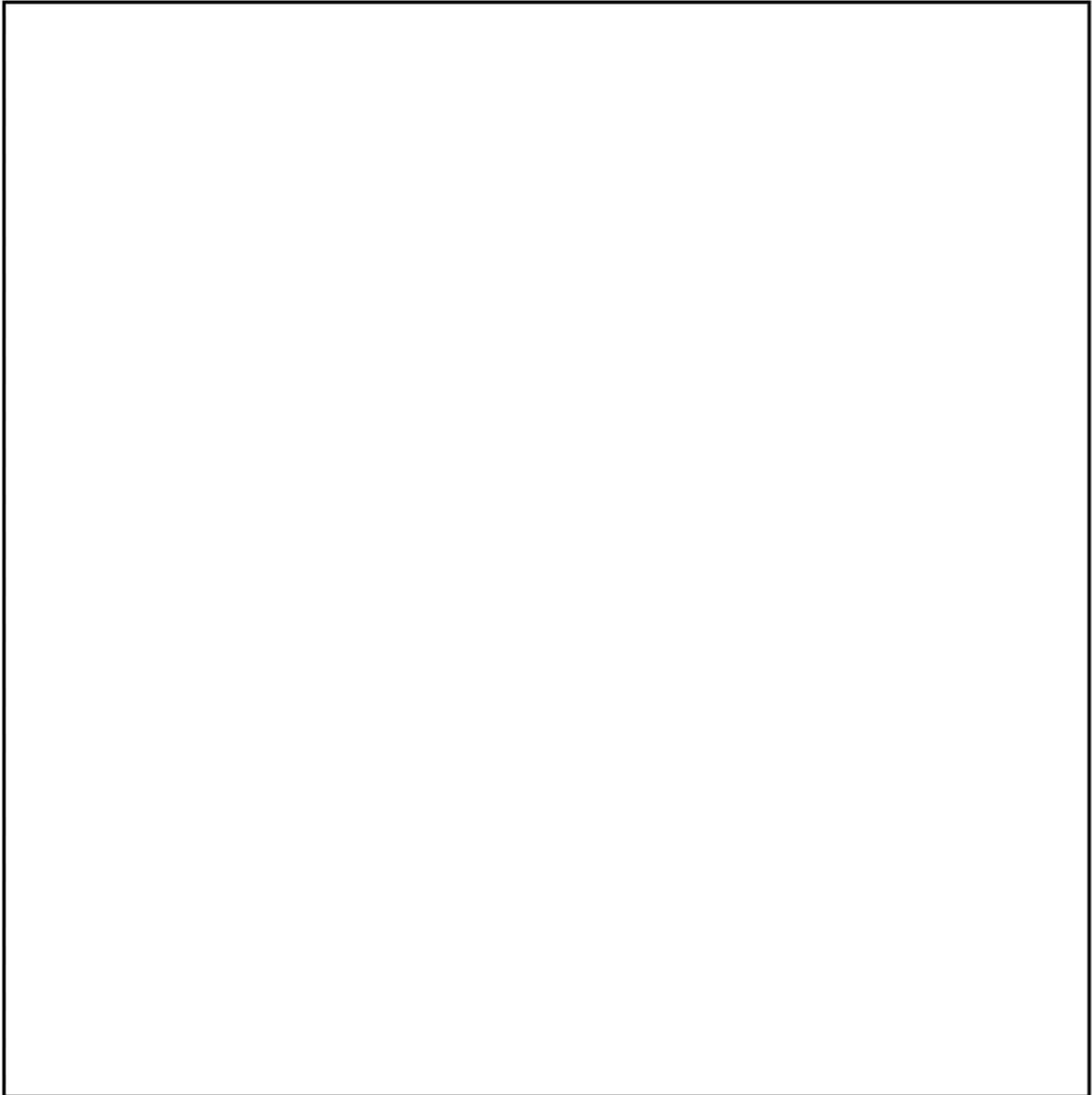


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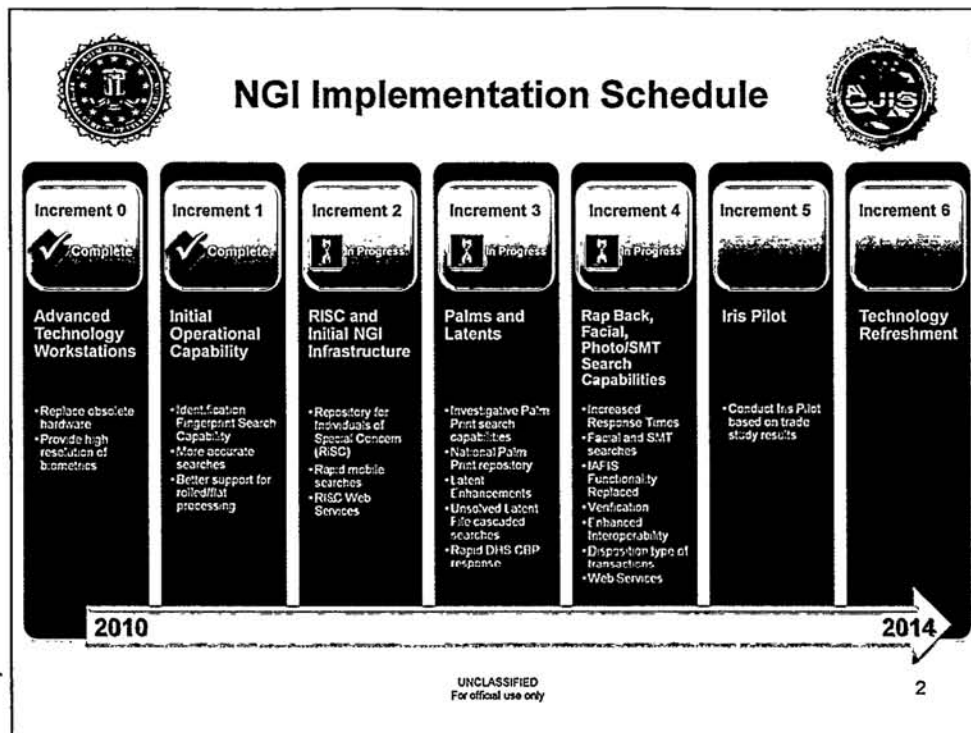
## Scenarios

*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).*



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## 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

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## 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

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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

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## 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:

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- **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:

b7E

- **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:

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## Requirements Management Plan

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- **Quality Check Automation (QCA)**

Current IAFIS: Manual

NGI: Automated

Benefits:

b7E

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Benefits:

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## Requirements Management Plan

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- **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:

b7E

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

Current IAFIS:

NGI:

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

Benefits:

b7E

### 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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b7E

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b7E

## Requirements Management Plan

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- **Quality Check Automation (QCA)**

Current IAFIS: Manual

NGI: Automated

Benefits:

b7E

### 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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Page 14 ~ b7E;  
Page 135 ~ b7E;  
Page 145 ~ b7E;  
Page 191 ~ b7E;  
Page 200 ~ b7E;  
Page 246 ~ b7E;  
Page 255 ~ b7E;  
Page 300 ~ b7E;  
Page 309 ~ b7E;

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## Scope Management Plan

- **Quality Check Automation (QCA)**

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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]

**Requirements elicitation** is the process of identifying software or system requirements from various sources through interviews, workshops, workflow and task analysis, and document analysis. [Wiegers' Software Requirements]

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[IEEE 610.12-1990]

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**Requirements Management** is the process of working with a defined set of product requirements throughout the product's development process and its operational life. It includes tracking status, managing changes to the requirements and versions of requirements specifications, and tracing individual requirements to other project phases and work products. [Wiegers' Software Requirements]

**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]



**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. [Wiegiers' 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. [Wiegiers' 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. [Wiegiers' Software Requirements]

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

**Requirements elicitation** is the process of identifying software or system requirements from various sources through interviews, workshops, workflow and task analysis, and document analysis. [Wiegiers' Software Requirements]

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Page 15 ~ b7E;  
Page 62 ~ b7E;  
Page 71 ~ b7E;  
Page 128 ~ b7E;  
Page 183 ~ b7E;  
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**Requirements Management** is the process of working with a defined set of product requirements throughout the product's development process and its operational life. It includes tracking status, managing changes to the requirements and versions of requirements specifications, and tracing individual requirements to other project phases and work products. [Wieggers' Software Requirements]

## Scope and Requirements Management Plan

- Machine Readable Data (MRD), III
- Including disposition information with the initial fingerprint submission

NGI: Provides electronic alternatives for submitting disposition data to IAFIS

Benefits:

b7E

- **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:

b7E

- **Quality Check Automation (QCA)**

Current IAFIS: Manual

NGI: Automated

Benefits:

b7E

### 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:

b7E

- **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

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## 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

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b7E

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b7E



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b7E

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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;  
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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**

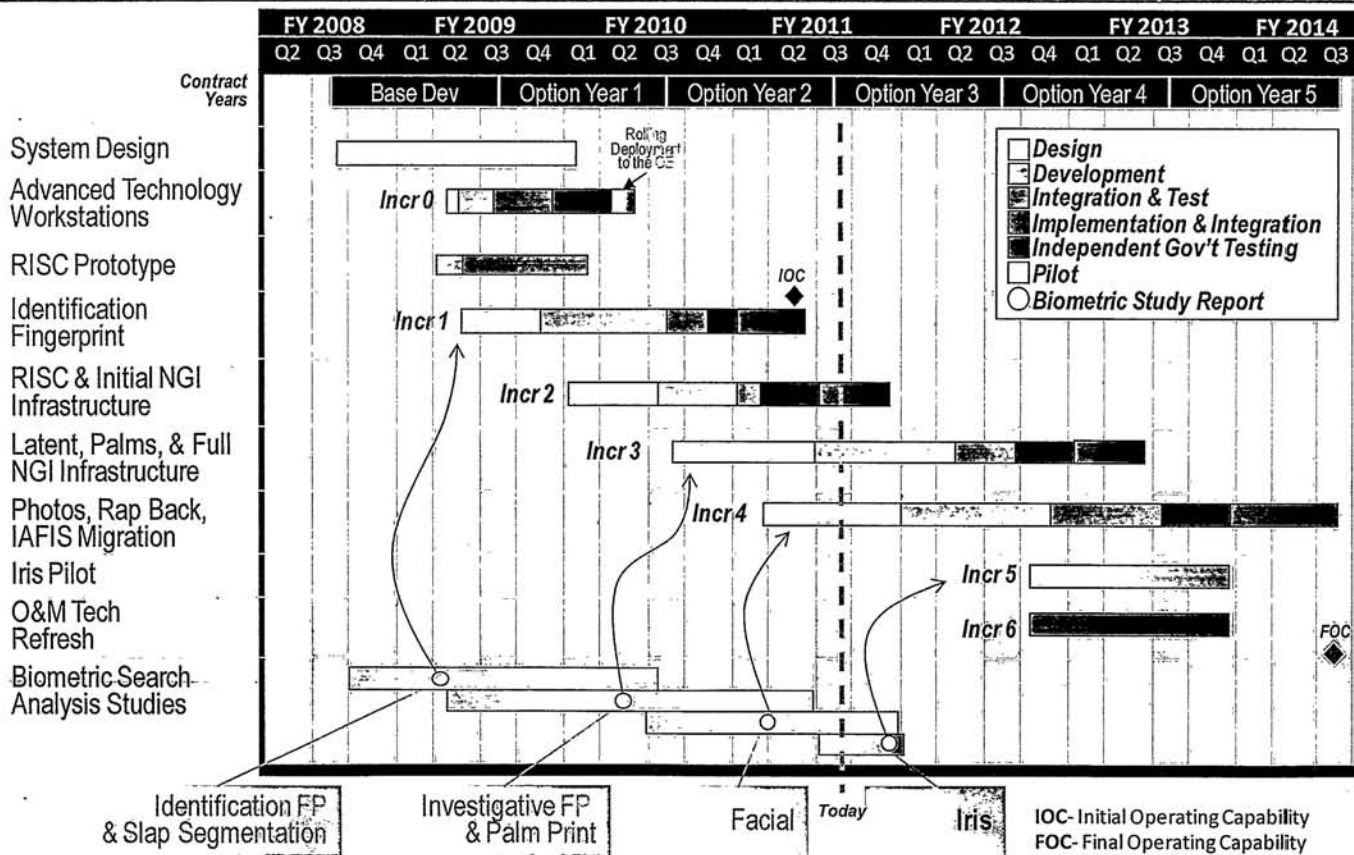
**Identification Fingerprint and Slap Fingerprint Segmentation** FY08 Q4 – FY09 Q2



UNCLASSIFIED



# Integrated Master Schedule



June 13, 2011

Biometric Search Analysis Studies link to the Planned Contract Modifications.

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## APPENDIX B - INCREMENTAL REQUIREMENTS ALLOCATION

Tag	Requirement text	Incr0	Incr1	Incr2	Incr3	Incr4	Incr5	Incr6
SFR1343							x	
SFR1344							x	
SFR1345							x	
SFR1346							x	
SFR1347							x	
SFR1348							x	
SFR1349							x	
SFR1350							x	
SFR1351							x	
SFR1352							x	
SFR1353							x	
SFR1354							x	
SFR1355							x	
SFR1356							x	
SFR1357							x	
SFR1358							x	
SFR1359							x	
SFR1360							x	
SFR1361	IAFIS shall accept a Direct Rap Back Enrollment request from an Authorized Contributor in accordance with the latest EBTS version.						x	
SFR1362	IAFIS shall allow an Authorized FBI Service Provider to submit a Direct Rap Back Enrollment request.						x	
SFR1363	IAFIS shall accept a Direct Rap Back Enrollment request with a UCN and ten or fewer fingerprints from an Authorized Contributor.						x	
SFR1364	IAFIS shall accept a Direct Rap Back Enrollment request with a UCN from an Authorized FBI Service Provider.						x	
SFR1365	IAFIS shall accept a Direct Rap Back Enrollment request with a UCN and specified biographic data from an Authorized Contributor.						x	
SFR1366	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.						x	
SFR1367	IAFIS shall accept, as part of a Direct Rap Back Enrollment request, a Rap Back subscription expiration date for the associated Identity.						x	
SFR1368	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.						x	
SFR2023	IAFIS shall accept an indicator on a Direct Rap Back Enrollment request that specifies if an Identity History Summary should be included with the Direct Rap Back Enrollment response.						x	
SFR1935	IAFIS shall accept Direct Rap Back Enrollment requests in bulk via multiple methods (e.g., ftp, CD, DVD).						x	
SFR1369	IAFIS shall assign a default Rap Back subscription expiration date when an expiration date is not specified as part of the Direct Rap Back Enrollment request.						x	
SFR1370	IAFIS shall assign the default Rap Back subscription expiration date when the expiration date specified, as part of the Direct Rap Back Enrollment request, exceeds the maximum allowable Rap Back subscription period.						x	
SFR1371	IAFIS shall enroll the specified Identity into Rap Back as part of a Direct Rap Back Enrollment request.						x	
SFR1372	IAFIS shall reject a Direct Rap Back Enrollment request when the specified UCN cannot be validated using the submitted fingerprints.						x	
SFR1373	IAFIS shall reject a Direct Rap Back Enrollment request when the specified UCN does not exist.						x	

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## APPENDIX B - INCREMENTAL REQUIREMENTS ALLOCATION

Tag	Requirement text	Incr0	Incr1	Incr2	Incr3	Incr4	Incr5	Incr6
SFR1374	IAFIS shall reject a Direct Rap Back Enrollment request when the specified UCN cannot be validated using the submitted biographic information.						x	
SFR1375	IAFIS shall provide a Direct Rap Back Enrollment response to an Authorized Contributor in accordance with the latest EBTS version.						x	
SFR1376	IAFIS shall provide the appropriate Direct Rap Back Enrollment response to an Authorized FBI Service Provider.						x	
SFR2009	IAFIS shall provide a collective response for Direct Rap Back Enrollment requests when submitted in bulk.						x	
SFR2024	IAFIS shall optionally include, on a Direct Rap Back Enrollment response, the Identity History Summary for the specified UCN.						x	
SFR1377	IAFIS shall accept a Rap Back Maintenance request from an Authorized Contributor in accordance with the latest EBTS version.					x		
SFR1378	IAFIS shall allow an Authorized FBI Service Provider to submit a Rap Back Maintenance request.					x		
SFR1379	IAFIS shall require a Rap Back Maintenance request to contain a UCN.					x		
SFR1380	IAFIS shall provide the capability to modify Rap Back event type triggers as part of a Rap Back Maintenance request.					x		
SFR1381	IAFIS shall provide the capability to add Rap Back Notification recipient(s) as part of a Rap Back Maintenance request.					x		
SFR1382	IAFIS shall provide the capability to delete Rap Back Notification recipient(s) as part of a Rap Back Maintenance request.					x		
SFR1383	IAFIS shall provide the capability to cancel a Rap Back subscription from the specified Identity as part of a Rap Back Maintenance request.					x		
SFR1898	IAFIS shall provide the capability to delete the civil event associated with a rap back, when canceling a Rap Back subscription as part of a Rap Back Maintenance request.					x		
SFR2025	IAFIS shall accept Direct Rap Back Maintenance requests in bulk via multiple methods (e.g., fip, CD, DVD).					x		
SFR1384	IAFIS shall perform the requested maintenance as part of a Rap Back Maintenance request.					x		
SFR1385	IAFIS shall reject a Rap Back Maintenance request when the specified UCN does not exist.					x		
SFR1386	IAFIS shall reject a Rap Back Maintenance request when the specified Rap Back subscription does not exist.					x		
SFR1387	IAFIS shall reject a Rap Back Maintenance request when the specified Rap Back Notification recipient(s) does not exist.					x		
SFR1388	IAFIS shall provide a Rap Back Maintenance response to an Authorized Contributor in accordance with the latest EBTS version.					x		
SFR1389	IAFIS shall provide the appropriate Rap Back Maintenance response to an Authorized FBI Service Provider.					x		
SFR2026	IAFIS shall provide a collective response for Direct Rap Back Maintenance requests when submitted in bulk.					x		
SFR1390	IAFIS shall accept a Rap Back Subscription Renewal request from an Authorized Contributor in accordance with the latest EBTS version.					x		
SFR1391	IAFIS shall allow an Authorized FBI Service Provider to submit a Rap Back Subscription Renewal request.					x		
SFR1392	IAFIS shall require a Rap Back Subscription Renewal request to contain a UCN and Rap Back subscription expiration date.					x		
SFR1393	IAFIS shall renew the Rap Back subscription as part of a Rap Back Subscription Renewal request.					x		
SFR1394	IAFIS shall assign the default Rap Back subscription expiration date when the expiration date specified, as part of the Rap Back Subscription Renewal request, exceeds the maximum allowable Rap Back subscription period.					x		
SFR1395	IAFIS shall reject a Rap Back Subscription Renewal request when the specified UCN does not exist.					x		
SFR1396	IAFIS shall reject a Rap Back Subscription Renewal request when the specified Rap Back subscription does not exist.					x		
SFR1397	IAFIS shall provide a Rap Back Subscription Renewal response to an Authorized Contributor in accordance with the latest EBTS version.					x		
SFR1398	IAFIS shall provide the appropriate Rap Back Subscription Renewal response to an Authorized FBI Service Provider.					x		
SFR1399		x						
SFR1400		x						
SFR1401		x						

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## APPENDIX B - INCREMENTAL REQUIREMENTS ALLOCATION

Tag	Requirement text	Incr0	Incr1	Incr2	Incr3	Incr4	Incr5	Incr6
SFR1437							x	
SFR1438							x	
SFR1439							x	
SFR1440							x	
SFR1441							x	
SFR1442							x	
SFR1443							x	
SFR1445							x	
SFR1446							x	
SFR1447							x	
SFR1448							x	
SFR1449							x	
SFR1450							x	
SFR1451							x	
SFR1452							x	
SFR1453							x	
SFR1454							x	
SFR1455	IAFIS shall allow Authorized Contributors to perform Rap Back maintenance on their own Rap Back subscriptions.						x	
SFR1456	IAFIS shall allow Authorized FBI Service Providers to perform Rap Back maintenance on all Rap Back subscriptions.						x	
SFR1457	IAFIS shall allow Authorized Contributors to perform Rap Back subscription renewal on their own Rap Back subscriptions.						x	
SFR1458	IAFIS shall allow Authorized FBI Service Providers to perform Rap Back subscription renewal on all Rap Back subscriptions.						x	
SFR1459							x	
SFR1460		x						
SFR1461		x						
SFR1462						x		
SFR1463						x		
SFR1464								
SFR1465				x				
SFR1466						x		
SFR1467							x	
SFR1469		x						
SFR1470					x			
SFR1471					x			
SFR1472						x		
SFR1473						x		
SFR1474							x	
SFR1475							x	
SFR1476								
SFR1477					x			

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## APPENDIX B - INCREMENTAL REQUIREMENTS ALLOCATION

Tag	Requirement text	Incr0	Incr1	Incr2	Incr3	Incr4	Incr5	Incr6
SFR1478						x		
SFR1479						x		
SFR1480						x		
SFR1481						x		
SFR1482							x	
SFR1483						x		
SFR1484	IAFIS shall maintain dissemination rules for all Rap Back Notifications.					x		
SFR1485						x		
SFR1486						x		
SFR1487					x			
SFR1488		x						
SFR1489		x						
SFR1493								
SFR1494						x		
SFR1495						x		
SFR1496						x		
SFR1497					x			
SFR1498					x			
SFR1499						x		
SFR1500						x		
SFR1501						x		
SFR1502						x		
SFR1503						x		
SFR1504							x	
SFR1505							x	
SFR1506						x		
SFR1507						x		
SFR1508		x						
SFR1509						x		
SFR1510						x		
SFR1511							x	
SFR1512							x	
SFR1513							x	
SFR1514							x	
SFR1515							x	
SFR1516							x	
SFR1860	IAFIS shall maintain Rap Back Notification rules.					x		
SFR2027		x						
SFR2032						x		
SFR1517						x		
SFR1879						x		
SFR1518								
			x					

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Version 1.0  
Amended FRO 12/21/07  
Appendix C - 230

## APPENDIX C - INCREMENTAL PERFORMANCE CAPABILITIES

Tag	Requirement text	Incr0	Incr1	Incr2	Incr3	Incr4	Incr5	Incr6
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
	Notification - Rap Back Notifications	0%	0%	0%	0%	100%	100%	100%
SNFR288	IAFIS shall be capable of meeting the estimated average hourly Rap Back workloads contained in Table 4-17c					100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
	Notification - Rap Back Notifications	0%	0%	0%	0%	100%	100%	100%
SNFR225	IAFIS shall be capable of meeting the estimated yearly Rap Back capacities contained in Table 4-18.					100%	100%	100%
	Rap Back Subscriptions Capacity	0%	0%	0%	0%	100%	100%	100%
SNFR226		0%	0%	0%	0%	100%	100%	100%
SNFR227						100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%
		0%	0%	0%	0%	100%	100%	100%

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Source Selection Information - See FAR 2.101 and 3.104

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Appendix C - 231