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Total Deleted Page(s) = 69
Page 174 ~ b5; b6; b7C; b7E;
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;
Page 185 ~ b5; b6; b7C; b7E;
Page 186 ~ b5; b6; b7C; b7E;
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;
Page 195 ~ b5;
Page 196 ~ b5;
Page 197 ~ b5; b7E;
Page 198 ~ b5;
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Page 215 ~ b5;
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Page 220 ~ b5; b7E;
Page 221 ~ b5; b6; b7C; b7E;
Page 222 ~ b5; b7E;
Page 223 ~ b5; b7E;
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Page 246 ~ 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.

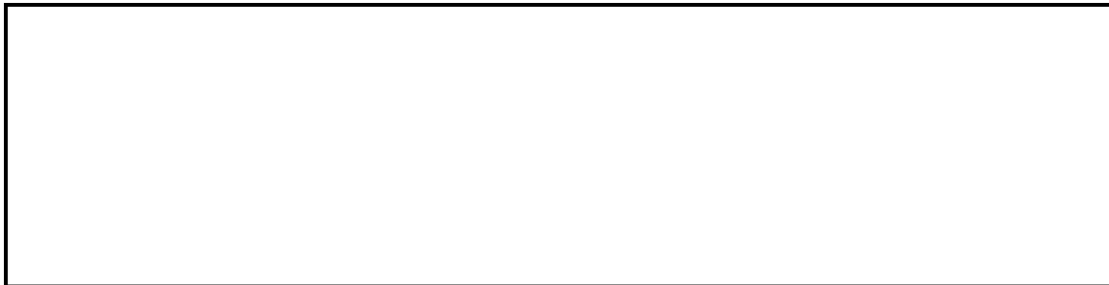
An individual is arrested. As with all arrestees, the individual is booked, including livescan fingerprinting. The fingerprints, biographical, and criminal information is electronically transmitted to the SIB and the FBI's NGI system to determine the individual's identity and any previous criminal record.



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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.

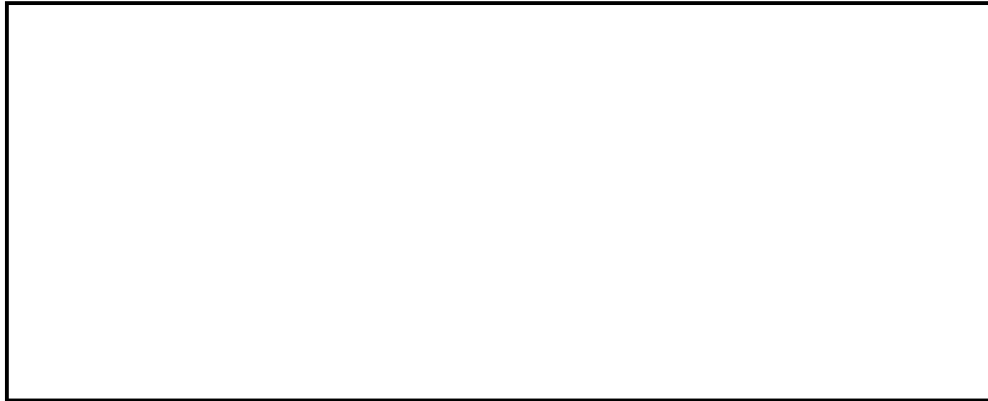
If the submission meets these three requirements, a response (or multiple responses if additional ORIs have been designated to receive notifications) will be

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

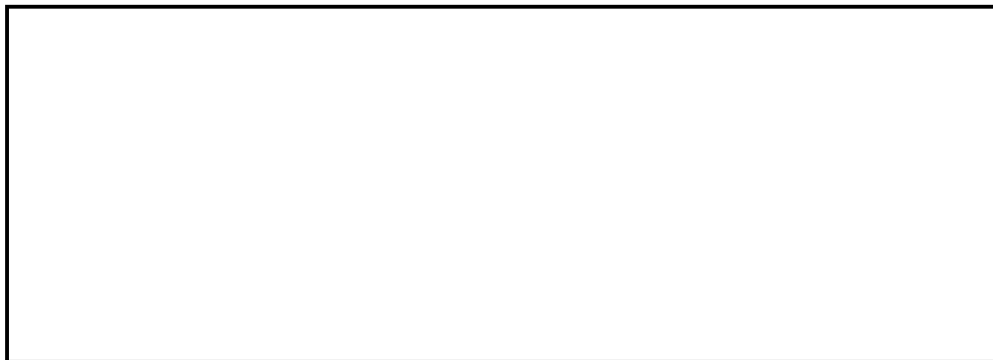
The NGI system receives a submission for an NGI record which has been enrolled in the Rap Back Service. The submission meets the criteria set by the Rap Back agency (expiration date, type of transaction and with respect to instate transactions) and the Rap Back agency has selected to receive pre-notifications.



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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

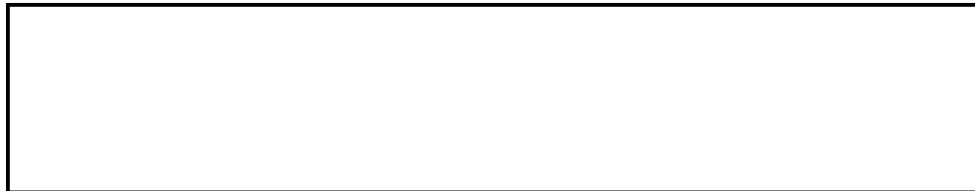
the Rap Back agency (expiration date, type of transaction and with respect to instate transactions) and the Rap Back agency has selected to receive the complete Identification Record in their notifications.



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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.

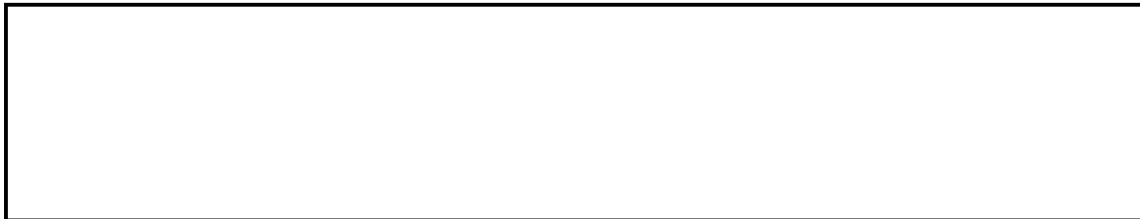


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13. Rap Back Maintenance

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:

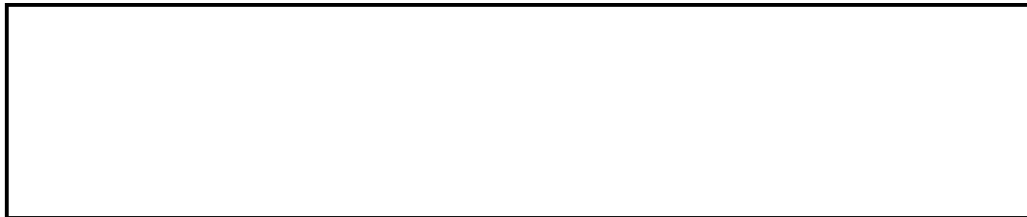
- Expiration date*
- Types of transactions to be notified*
- Notification of in-state transaction*
- Additional ORIs to receive notification*
- Pre-notification*



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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.



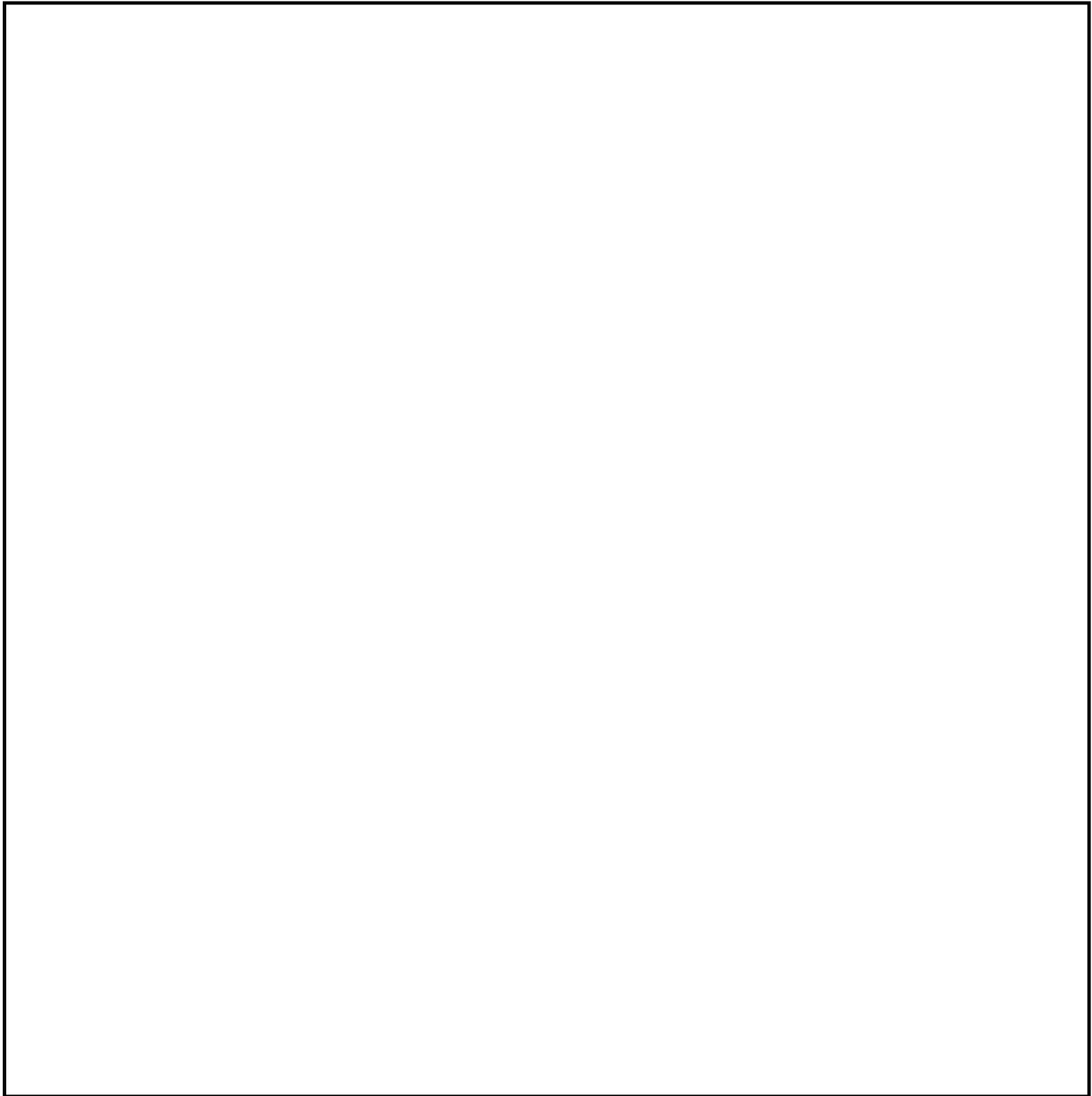
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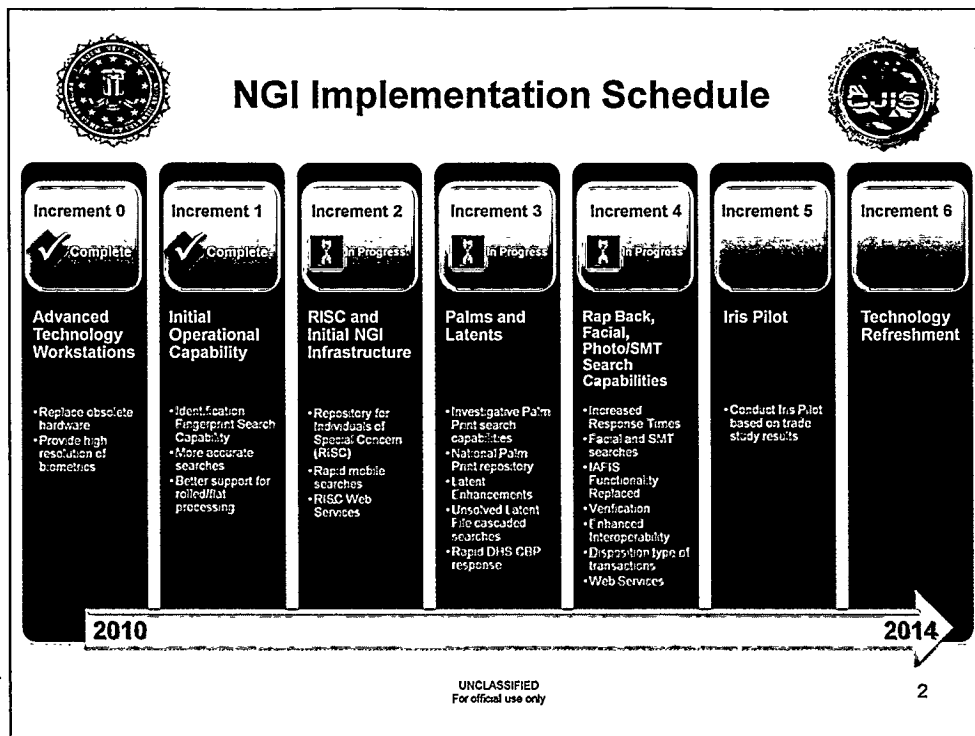
Scenarios

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



**Rap Back, Facial, SMT Search Capabilities,
Migration of Remaining IAFIS Functionality
(Increment 4)**

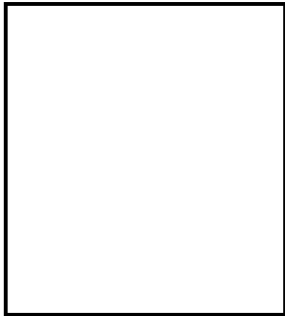


Status

- 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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9

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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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Page 67 ~ Duplicate;
Page 192 ~ Duplicate;
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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:

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- **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

Requirements Management Plan

b7E

- **Quality Check Automation (QCA)**

Current IAFIS: Manual

NGI: Automated

Benefits:

b7E

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applicant background checks.

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Benefits:

b7E

Requirements Management Plan

b7E

- **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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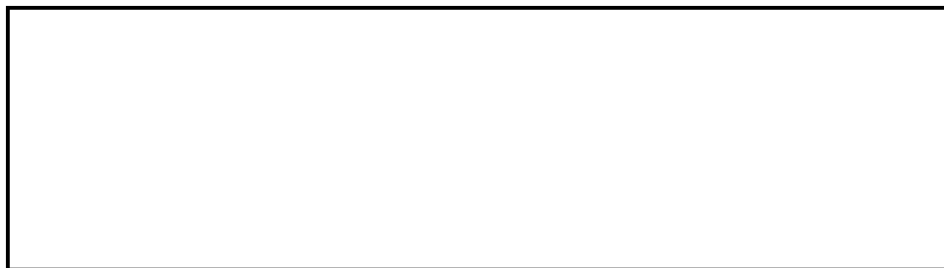


- **Quality Check Automation (QCA)**

Current IAFIS: Manual

NGI: Automated

Benefits:



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3.0 Roles and Responsibilities

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

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

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

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

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

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Scope Management Plan

- **Quality Check Automation (QCA)**

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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. [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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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]

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- 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. [Wieggers' Software Requirements]

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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. [Wieggers' Software Requirements]

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- Page 128 ~ b7E;
- Page 183 ~ b7E;
- Page 184 ~ b7E;
- Page 238 ~ b7E;
- Page 293 ~ b7E;

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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
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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. [Wiegiers' 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
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Scope and Requirements Management Plan

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