



U.S. Department of Justice

Federal Bureau of Investigation

Clarksburg, WV 26306

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TO: CRIMINAL JUSTICE INFORMATION SERVICES (CJIS) SYSTEMS AGENCIES, STATE IDENTIFICATION BUREAUS, AND INTERFACE AGENCIES

SUBJECT: NEXT GENERATION IDENTIFICATION (NGI) INCREMENT 4

The Federal Bureau of Investigation CJIS Division is completing NGI Increment 4 development. The following list describes the replacement of the legacy Integrated Automated Fingerprint Identification System (IAFIS) to NGI and identifies new capabilities available in the first delivery of the NGI Increment 4 in April of 2014:

- **Retirement of Legacy Integrated Automated Fingerprint Identification System** – The IAFIS migration to NGI will allow for greater capacity, faster response times, and provide a better standard for accuracy.
- **FBI Universal Control Number** (FBI UCN) – The Interstate Identification Index (III) has historically utilized an FBI number (FNU) to index a subject’s criminal record. After the first installment of Increment 4, criminal and civil subjects will be indexed by fingerprint-based identities and will be referenced by an FBI UCN. Preexisting FNUs will be retained and referred to as FBI UCNs after delivery of this functionality. While receipt of an FNU has served as an indication of the existence of criminal history record information (CHRI), the transition to an FBI UCN in NGI for all identities changes this long-standing concept.
- **Identity History Summary** (IdHS) – NGI Increment 4 creates a new term for what has commonly been referred to as a “Rap Sheet”. As NGI Increment 4 provides the capability to collect, consolidate, and maintain both criminal and civil events of an identity under a common FBI UCN, the new IdHS will provide complete identity history, in accordance with NGI business rules, to authorized users of the NGI system.
 - **Biometric Set Identifier** (BSI) – This new field on the IdHS will provide pointers for all biometric types associated with an identity event.
 - **Event Identifier** (EVI) – This new field will be used to identify a specific biometric enrollment event for an identity. The EVI will be used by the contributor to delete and/or perform maintenance on a specific event.
 - *An FBI UCN may have multiple EVIs associated with it; for example a person who is arrested and fingerprinted multiple times.*
 - *An EVI may have multiple BSIs associated with it; one for each biometric type captured during the event; for example fingerprints and palm prints taken during a booking process will each contain a unique BSI.*

- **Civil Retention** – Updates to policy and privacy documentation will allow NGI to store civil tenprint submissions provided by the states at the discretion of the contributing agency. Through the creation of an identity database with NGI Increment 4, agencies submitting to NGI for criminal justice purposes will receive the biographical information associated with a civil-only identity upon a positive identification. Traditionally, this would have provided a non-ident response.
- **Civil Fingerprint Matches in Latent Searches** – NGI Increment 3 expanded the NGI repositories available for latent searching to include the civil repository. If a latent match is made to a civil-only NGI identity returned in the Search Results – Latent (SRL) candidate list, the authorized agency needs to call the Latent and Forensic Support Unit (LFSU) at (304) 625-5868 to obtain the additional biographic and event information associated with the NGI identity. With deployment of NGI Increment 4, all candidates will be referenced by an FBI UCN and the authorized agency will be able to conduct a Query Record (QR) for all FBI UCNs to obtain the biographic information for a latent match. To obtain event information associated with a civil-only NGI identity, it will be necessary to continue contacting the LFSU.
- **Increased Criminal History Record Messages From III** – Criminal justice agencies will see an increase in the number of \$.A.CHR (unsolicited Criminal History Request Notification) messages from NGI for purpose codes supported. NGI Increment 4 will generate a \$.A.CHR unsolicited message for a tenprint submission that positively identifies to an active state pointer in an attempt to generate the most accurate response to the contributor of the tenprint submission. NGI will provide any events retained in NGI not associated with a State Identification Number, as well as all federal event data in the response. Should a state agency not provide a response within the maximum response time for the type of transaction, NGI will provide all of the criminal history information retained in NGI for that state.

In addition to replacing the legacy services provided by IAFIS, the second delivery of the NGI Increment 4 in June of 2014 will offer new services through the creation of Rap Back, Interstate Photo System (IPS), Scars, Marks, and Tattoos (SMT), and enhanced interoperability (external systems search capabilities).

- **Rap Back** – Rap Back delivers the capability to more fully utilize the CHRI reported to NGI. Authorized non-criminal justice entities will be able to subscribe to NGI fingerprint identities to receive notifications of future reported activities. Based on notices from triggering events, evaluations can be made regarding their continued suitability. This service provides the potential for significant savings by eliminating the need for repeated background checks from the same applicant agency on a single person. Rap Back will also provide timely notification to criminal justice agencies regarding relevant triggering events reported to NGI pertaining to individuals under authorized law enforcement investigation or under the supervision of criminal justice agencies.

The Rap Back policy and implementation guides have been released for both non-criminal justice and criminal justice participation and can be made available by contacting your NGI Program Office (NGIPO) state/federal representative.

- **Interstate Photo System** – Increment 4 provides the development of the enhanced national photo repository, new photo search functionality, photo retrieval from the national photo repository, and the ability to accept bulk photo submissions. The following is a list of capability additions/enhancements available with the second delivery of Increment 4 in June 2014:
 - **New photo search capabilities** – The facial recognition search will consist of comparing features from a probe photo (front face) against the gallery of photos and corresponding face features in the NGI database. Additionally, the text based photo search will employ biographic/demographic data as the search criteria to retrieve a list of unranked candidates and their most recently taken frontal face photo. The text based SMT search will consist of using biographic/demographic data and SMT descriptors to find a list of unranked candidates and their SMT photos.
 - **Accept bulk submissions of photos** – Several state agencies have contacted the CJIS Division requesting permission to submit photos maintained in their state repository to the IPS. The bulk photo submission enhancement will allow photos maintained in local, state, tribal, and federal databases to be submitted to the IPS in a bulk Biometric Image Submission (FIS) type of transaction (TOT). Contributing agencies must meet the criteria requiring identity verification prior to photo submission, and ensure the submission contains a quoted FBI UCN and date image taken (DPR). Civil bulk photo submissions will be accepted with a quoted FBI UCN, DPR, and EVI when available.
 - **Universal Face Workstation** (UFW) – This new software, developed unilaterally with the facial recognition search capability of the IPS, provides local, state, tribal, and federal agencies a mechanism to interface with the IPS. The UFW software is available to law enforcement at no cost. The UFW provides authorized Law Enforcement agencies the ability to prepare face search transactions, submit face searches, and review candidate list responses.
- **Biometric Interoperability (external system searching)** – Increment 4 will deliver capabilities for Enhanced Biometric Interoperability to support: increased searches of external systems; record linking with the Department of Homeland Security (DHS) IDENT system; increased notifications to the DHS Law Enforcement Support Center; and Latent Interoperability with IDENT and Department of Defense (DoD) ABIS. The record linking and latent interoperability capabilities will only be realized once partner agencies (i.e., DHS and DoD) have delivered the necessary functionality to support.

- **Enhanced Disposition Functionality** – Three new TOTs will be provided for disposition updates. The Electronic Fingerprint Disposition Submission (FDSP) TOT allows contributors to submit a disposition with a tenprint fingerprint transaction. The Disposition File Maintenance Submission (DSPE) TOT allows for contributors to submit a disposition without fingerprints. Disposition Response (DSPR) TOT allows NGI to provide the contributor an electronic response.
- **Biometric Audit Trail** – For biometrics that an agency has submitted for retention within the NGI, the agency will be able to retrieve an audit trail that details the dissemination of those biometric images.

For contributors that wish to implement the additional NGI Increment 4 capabilities within their systems, the current Electronic Biometric Transmission Specification (EBTS) 10.0 is available at www.fbibiospecs.org. The EBTS 10.0 contains all of the changes necessary to utilize the new and enhanced functionality delivered within Increment 4, as well as all previously delivered capabilities. Additionally, the EBTS document will no longer follow a yearly version cycle. Based on work within the Identification Services Coordination Group and support from the Identification Services Subcommittee, the CJIS Advisory Policy Board has endorsed a motion to change to a quarterly process. The CJIS Division will implement a Technical Operational Updates (TOU) process that publishes a new TOU on a quarterly basis with a record of changes and a specific version number to track changes to the EBTS.

Agencies interested in participating in any of the NGI Increment 4 capabilities, or those seeking additional information must contact their NGIPO state/federal representative or the NGIPO at (304) 625-3437. The NGIPO will work with agencies and their corresponding CJIS System Officer to evaluate their current system capabilities and develop strategies for going forward with participation in these new and updated services.

For questions regarding any of the content within this document, you may contact the NGI Implementation and Transition Unit at telephone number (304) 625-3437 or by email at fbingi@leo.gov.

Sincerely,
NGI Program Office