

Oregon Livescan Specification

Version 3 Revision 04

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I. Introduction

The Oregon State Police – Identification Services Section (OSP-ISS) is responsible for filing and retrieving fingerprint data and supplemental information in the state of Oregon. This responsibility is established by Oregon Revised Statutes and Administrative Rules, and further defined by Federal Codes. Appendix F describes in more detail the relevant statutes pertaining to OSP-ISS responsibilities. In order to carry out these responsibilities in an efficient manner, OSP strives to automate fingerprint processing. The use of Livescan equipment to feed fingerprint data directly into the OSP electronic processing systems provides a significant amount of this automation and resulting efficiency.

OSP-ISS is a member of the Western Identification Network (WIN), which provides fingerprint archives and processing for several western states. The OSP-ISS automated system consists of the WIN Global Transaction Controller (GTC), the Fingerprint/Oregon CCH Update System (FOCUS) both located within ISS and the Computerized Criminal History (CCH) database located at the OSP Law Enforcement Data System (LEDS). These main components, and interactions with WIN and FBI systems, provide the facilities to automatically process fingerprint submissions and update the CCH when appropriate. The diagram in Appendix Q depicts the Livescan connection to OSP-ISS, the functional components of the system and the external system interfaces.

It is the policy of OSP-ISS to maintain a hard copy of each fingerprint card when authorized. Therefore, electronic submissions are always printed when received, even when directly submitted. This requirement may affect the design of a Vendor's approach to submitting fingerprint data to OSP-ISS despite original instructions to submit in NIST only format.

This specification provides the guidelines for connecting Livescan equipment to the OSP-ISS for electronic transmissions and ultimately directly to OSP-ISS automated systems. It is designed to be a concise description of the network and data requirements, and points out elements that may be unique to Oregon. Data description tables and drawings are provided to help visualize the requirements and implementation steps.

II. Data

The American National Standards Institute has created a specification for “*Data Format for the Interchange of Fingerprint, Facial, & Other Biometric Information*”, ANSI/NIST-ITL 1-2007. This NIST manual defines (in a general manner) several record types that when combined together can be used for the electronic transfer of biometric information. Specifically, this manual gives the guidelines for the following Record Types:

- Type 1 – Transaction information record
- Type 2 – User defined descriptive text record
- Type 3 to 6 – Fingerprint image records
- Type 7 – User defined image record
- Type 8 – Signature image record

- Type 9 – Minutiae data record
- Type 10 – Facial and SMT image record
- Type 11 & 12 – Reserved for future use
- Type 13 – Variable-resolution latent image record
- Type 14 – Variable-resolution fingerprint image record
- Type 15 – Variable-resolution palm print image record
- Type 16 – User defined testing image record
- Type 17 – Iris image record
- Type 99 – CBEFF Data Record

The FBI used the NIST Format described above to create a more specific format for the transfer of electronic fingerprint cards to the FBI. These rules are contained in the “*Electronic Fingerprint Transaction Specification*”, IAFIS-DOC-01078-7.1 (EFTS). The EFTS Manual describes in detail all of the specific requirements, to which agencies must adhere.

In general, the FBI EFTS greatly expands the Type 2 Record defined in the NIST Manual for the demographic data that is required and/or optional. It also expands on the allowed image records (Types 4, 7 and 9) to specify some requirements, including the size and clarity (dots per inch) of the images and the compression routines that must be used.

Oregon utilizes the Western Identification Network (WIN) EFTS, which is an expansion of FBI’s EFTS, mostly in the Type 2 Record. The WIN EFTS adds a few more optional fields and requires some of the data fields that are specified as optional by the FBI. Also expanded is the definition of some of the FBI’s data fields.

Furthermore, Oregon has expanded upon the WIN EFTS, mostly in the Type 2 Record definitions in the WIN EFTS. Due to requirements of the Oregon CCH and policies within OSP-ISS, Oregon requires some fields that would otherwise be optional for the FBI and WIN. Also, OSP-ISS has narrowed the definition of, or allowed values for, some of the other fields.

The current version of the WIN EFTS is 3.4. The current version of FBI EFTS is 7.1. The current version of the ANSI/NIST is 1-2007. However, these manuals go through numerous updates. It will be up to the vendor/agency (with the help of OSP-ISS) to make sure that the latest version of these manuals are used. The rest of this specification will reference the various NIST/EFTS Record Types (1, 2, 4, etc.). It is assumed the vendor/agency has access to the above three documents for clarification. It is beyond the scope of this specification to describe the NIST/EFTS Record Types in detail.

The following sections describe the required and optional fields as defined for the State of Oregon and how that data is to be presented in the NIST/EFTS Records. A table of *Oregon NIST Requirements*, showing all of the information discussed below, can be found in Appendix P.

OSP- ISS will provide quarterly table updates in MS Excel and MS Word to ensure data fields are current. Current tables include: ORS, ORI, Reason Fingerprinted and Disposition Codes.

A. Required data

1. Transaction Identifiers

The Transaction Identifiers define some basic information about the electronic transaction and list all of the other NIST Record Types that are included for this fingerprint card. All of this information is stored in a NIST Type 1 Record. The State of Oregon requires the following additions to the WIN EFTS Type 1 Record.

a) *Type of Transaction, TOT, 1.04*

The State of Oregon can receive all of the Types of Transactions (TOT's) that are allowed by WIN, as described in the WIN EFTS Manual. Oregon's CCH will perform a search of its databases, based upon the subject's name and date of birth, for all TOT's. The top two matches, if any, will be forwarded to WIN to expedite the fingerprint matching process.

However, after fingerprint identification is made, (or not made for new records), Oregon will only perform CCH Entries/Updates, when authorized, for the following TOT's:

- CAR – Criminal Transaction with a Response requested
- CNA – Criminal Transaction with No Response requested
- MAP – Miscellaneous Applicant
- NFUF – Non-Federal Applicant (User Fee is required)

Therefore, Oregon has some additional requirements on the above four TOT's only. For the rest of this document TOT's CAR and CNA will be considered criminal cards or transactions. TOT's MAP and NFUF will be considered non-criminal cards or transactions. NOTE: no responses will be passed back to a livescan device. Record responses will be returned to the requesting agency via LEDS.

b) *Destination Agency ORI, 1.07*

This field shall contain the identifier of the administration or organization designated to receive the transmission. The destination ORI must be OR0SBI100 for all transmissions sent to OSP-ISS.

c) *Originating ORI, 1.08*

This field must be the ORI of the agency that produced the fingerprint card or the booking/fingerprinting agency. This may not always be the same as the agency that has control of the record, as that ORI will go in field 2.073, see

below. For instance, a local police department may make the arrest, but the subject is booked at a county location.

The ORI entered in this field must be a valid ORI from the current OSP *Oregon ORI Table*.

d) *Transaction Control Number, 1.09*

For criminal cards, the Transaction Control Number (TCN) for Oregon is the Fingerprint Control Number (FPN) which is required by the Oregon CCH for all criminal submissions. The TCN/FPN must be unique. **At no time will a transmission use a TCN/FPN that has been used previously for any reason.**

NOTE: the importance of the FPN number cannot be stressed enough as it relates to the accuracy of the criminal history file. It is *preferred* that the FPN be generated by the livescan device only, in order to minimize the chances for error. However it may be necessary at some point to require that only the livescan device generate this number, should errors occur that are attributed to the FPN being generated by another device or system.

i) Criminal Cards

The TCN must be 15 characters. The first two characters must be 'OR' (for Oregon) and the next 13 characters must be a 13 digit FPN. This FPN will have the following format:

- The first five characters will be unique to the agency and device. This value will be assigned by OSP-ISS.
- The next two digits will be the last two digits of the current year. For example, 07 for 2007.
- The next five digits will be a sequential number starting at 00001. This number is to be reset to one at the beginning of each year.
- The last digit will be a checksum calculated using positions 6 – 12. The checksum formula can be found in Appendix G.

(ii) Non-Criminal Cards

The TCN must be 15 characters. The first two characters must be 'OR' (for Oregon) and the next 13 characters must be created by the Livescan Device and have the following format:

- The first five characters will be unique to the agency and device. This value will be assigned by OSP-ISS.
- The next two digits will be the last two digits of the current year. For example, 07 for 2007.
- The next five digits will be a sequential number starting at 00001. This number is to be reset to one at the beginning of each year.
- The last digit will be a checksum calculated using positions 6 – 12. The checksum formula can be found in Appendix G.

e) *Oregon Revision Number, 2.483*

All electronic fingerprint card transmissions in the state of Oregon are required to contain the version number of the Oregon Livescan Specification. This value must be entered into field 2.483. It must contain 3 digits in the format VRR, where:

- V is the single digit version number of the specification
- RR is the two digit revision number of the specification. If the revision number is less than 10, a zero (0) must precede the number.
- Example, for specification Version 3 Revision 4, the entry in 2.483 must be 304.

2. *Demographic Information*

The demographic information consists of the textual data that physically describes the individual that is being fingerprinted. It also includes some additional information about the criminal activities or, for applicants, a reason for fingerprinting. While there are differences between criminal and applicant fingerprint cards, most of the required data is the same. All of the demographic information must be contained in a NIST/EFTS Type 2 Record.

a) *All Cards*

All criminal and applicant electronic fingerprint card transmissions are required to contain the subject's name, place of birth, date of birth, sex, race, height, weight, eye color and hair color. These values are placed in fields 2.018, 2.020, 2.022, 2.024, 2.025, 2.027, 2.029, 2.031 and 2.032, respectively. All cards must also include the Controlling Agency ORI in 2.073. All of this data must be formatted per the WIN EFTS Manual.

However, Oregon has additional requirements for some of these required fields, as described below and in the *Oregon NIST Requirements* document in Appendix P.

(i) Name

The name is entered into field 2.018 and must be 30 characters or less. It can contain a single comma (after LAST) and a single hyphen (in LAST). This is the name that will be entered into Oregon's CCH. It must be in the format of "LAST, FIRST MIDDLE SUFFIX" where:

- LAST is the surname and may contain a single hyphen. An exception to this rule is that the last name cannot be repeated with a hyphen between them. Example: SMITH-SMITH. In this case LEDS requires the hyphen to be removed and the names to be concatenated. Example: SMITHSMITH. LAST is required.
- FIRST is the given name. First is required.

- MIDDLE can be secondary name or just a single initial. If it is an initial, DO NOT include a period. MIDDLE is optional.
- SUFFIX would be JR or SR or II or III, etc. DO NOT include any punctuation. Suffix is optional.
- FIRST and LAST are separated by a comma, all other elements are separated by a single space, no additional punctuation is allowed.

The name must also be entered as the first set of data into field 2.908. If there is more than one data set entered in field 2.908, the first data set is considered to be the primary name reported for that event and any additional data sets are considered aliases (Section II.B.1.a.iii below). This field allows a little more variance in the format of the name. Most importantly, it allows for the full name to be greater than 30 characters. This is the name that will print on the Fingerprint Card for the repository official record-keeping purposes.

It is assumed that the Livescan Device will provide a screen to allow the user to enter a subject's name in fashion acceptable to field 2.908. If the name entered is such that it also fits the criteria of field 2.018, the Livescan Vendor will enter that data there and into 2.908. If the name does not fit the criteria of 2.018, then the Livescan Vendor will store the true full name in 2.908 and request that the user modify the name so that it satisfies the criteria for 2.018. It is assumed that the end user has the best chance of making the necessary adjustments to the name to get it logically into Oregon's CCH. Under no circumstance shall the Livescan Device automatically truncate the name to make it meet the criteria of field 2.018.

This format of field 2.908 is as follows:

- Subfield 1: Required, enter the last or surname here, which can contain a single hyphen. An exception to this rule is that the last name cannot be repeated with a hyphen between them. Example: SMITH-SMITH. In this case LEDS requires the hyphen to be removed and the names to be concatenated. Example: SMITHSMITH.
- Subfield 2: Required, enter the subjects first name
- Subfield 3: Optional, enter the middle name(s) or middle initial
- Subfield 4: Optional, any generation descriptive suffix

(ii) Controlling Agency ORI

This is the ORI of the agency that has control of the subject. That is, the agency that made the arrest or is requesting the applicant's fingerprints. This required information must be entered in field 2.073.

The ORI entered in this field must be a valid ORI as shown in the current OSP *Oregon ORI Table*. The associated Controlling Agency Name from the *Table* must be entered in field 2.975.

(iii)Image Capture Equipment

Each Livescan Vendor must include some information about the type of Livescan Device that was used to capture the subject's fingerprints. This required information must be entered in field 2.067. The format for this data is as follows:

- Subfield 1: Required, must be the Make of the equipment. Cannot be more than six characters.
- Subfield 2: Required, must be the Model of the equipment. Cannot be more than eight characters.
- Subfield 3: Required, must be a five character Unique Mnemonic for the equipment. This value will be assigned by OSP-ISS for each Livescan Device in the State of Oregon, in coordination with the AFIS vendor.

(iv)Official Taking the Prints

Oregon requires that the name of the individual who took the subject's fingerprint images is recorded with the transaction. This information is entered into field 2.480. Since all Livescan Devices are required to have each user login, it is assumed that this information can be retrieved from the user's login or a lookup table. It is advisable to NOT require the user to type this information with each subject fingerprinted. The format for this field is as follows:

- Subfield 1: Required, must be the official's name
- Subfield 2: Optional, if used, this must be the type of ID Number that Subfield 3 contains.
- Subfield 3: Required, must be the ID Number of the official

(v) Date Subject was Printed

The date printed information in field 2.038 is required by WIN for applicant cards. In Oregon, it is also required for criminal cards. The format shall be 'YYYYMMDD', where:

- YYYY is the four digit year
- MM is the two digit month. If the month is a single digit, a leading zero must be included.
- DD is the two digit day. If the day is a single digit, a leading zero must be included.
- Example, June 16, 2007 would be entered as 20070616
- NOTE: the date and time on the device should be updated at least every 24 hours from an outside source

(vi)Time Subject was Printed

The time printed is also required in Oregon. This information is entered into field 2.481. The format for this field is 'HHMMSS' where:

- HH is the two digit hour in 24-hour format. If the hour is a single digit, a leading zero must be included. For example, 4 in the morning is 04, while 4 in the afternoon is 16
- MM is the two digit minutes. If the minute is a single digit, a leading zero must be included.
- SS is the two digit seconds. If the second is a single digit, a leading zero must be included.
- EXAMPLE, 4:17 and 6 seconds PM would be 161706
- NOTE: the date and time on the device should be updated at least every 24 hours from an outside source

b) *Criminal Cards*

In addition to the above-mentioned fields, all criminal cards must include at least one Charge and a Date of Arrest. These fields are not allowed on applicant cards.

(i) Charge Information

This charge information must be entered in fields 2.047 and 2.936. Field 2.047 is defined, and required, by the FBI and WIN on criminal cards. However, it does not contain all of the information that is required by Oregon's CCH. Therefore, the vendor must also include all of the Charge information in field 2.936.

For field 2.047 (required for FBI transmission), the format should be:

- Subfield 1: Required, the date of the offense.
- Subfield 2: Required, a literal description of the offense. For Oregon, this subfield should be formatted as 'ORS – Literal – Severity – NCIC Code', where:
 - ORS is the Oregon Revised Statute for the crime
 - Literal is a literal description of the crime
 - Severity is M (Misdemeanor), F (Felony), V (Violation) or O (Offense).
 - NCIC Code is the applicable four-digit NCIC Code for crime. This is optional

For field 2.936 (required for CCH entry), the format should be:

- Subfield 1: Optional, charge sequence number, not used by Oregon CCH
- Subfield 2: Optional, charge case number, not used by Oregon CCH
- Subfield 3: Optional, charge offense date, not used by Oregon CCH
- Subfield 4: Required, Oregon State Literal description of the charge. This must be a valid literal from the *Oregon Revised Statutes Table*

- Subfield 5: Required, Oregon State Statue. This must be a valid Oregon statue from the *Oregon Revised Statutes Table*. NOTE: Subfields 4, 5, 7 and 9 must be for the same Oregon statue.
- Subfield 6: Optional, State Offense Code, not used by Oregon CCH
- Subfield 7: Required, the four digit NCIC Code. This value is also selected from the *Oregon Revised Statutes Table*. NOTE: Subfields 4, 5, 7 and 9 must be for the same Oregon statue.
- Subfield 8: Optional, the number of counts for this offense. If this field is left blank, the number of counts is assumed to be one.
- Subfield 9: Required, M (Misdemeanor), F (Felony), V (Violation) or O (Offense). NOTE: Subfields 4, 5, 7 and 9 must be for the same Oregon statue.
- Subfield 10: Optional, free text description of the offense. Only use easily understood abbreviations and no punctuation except for a slash or hyphen. This description will be entered into the Oregon CCH. **** NOTE **** Some of the charges in the *Oregon Revised Statutes Table* have a required comment. This field MUST begin with that comment (if it exists) and the user may add free text to the end of it.

(ii) Date of Arrest

The date the subject was arrested. The format shall be 'YYYYMMDD', where:

- YYYY is the four digit year
- MM is the two digit month. If the month is a single digit, a leading zero must be included.
- DD is the two digit day. If the day is a single digit, a leading zero must be included.
- Example, June 16, 2007 would be entered as 20070616

c) *Applicant Cards*

In addition to the fields required in section II.A. above, all applicant cards must include the reason for fingerprinting. This field is not allowed on Criminal Cards.

(i) Reason for Fingerprinting

The Reason for Fingerprinting (RFP) is entered in field 2.037. The reason for fingerprinting must be one of the values contained in Appendix H. Some agencies are allowed only a subset of the RFP's listed. Please contact OSP-ISS for more information.

(ii) Account Billing Information

The Account Billing code attached to each applicable Reason For Fingerprinting (in Appendix H) must be entered into the ACCT-W (2.479.2). This code along with the RFP and the CRI (Controlling Agency ORI) allows OSP-ISS to correctly tie the Applicant Search Request to the appropriate

Agency (and subdivision inside and Agency) for billing purposes. In addition, a miscellaneous agency-use only tracking number may be entered into the OCA field (2.009) to further define the request for billing purposes.

Several RFP's do not have a standard billing code. This number must be supplied by the agency that is requesting the fingerprints and is determined in coordination with OSP-ISS.

3. *Fingerprints*

The criminal and applicant fingerprint cards that are processed by Oregon's CCH must include 14 fingerprint images as described in the FBI EFTS Manual. These images include a rolled capture of all ten fingers. It also includes the two slap images of all four fingers together, one for each hand and a plain straight down impression of each thumb.

Each of these images shall be –

- contained in its own NIST/EFTS Type 4 Record
- compressed with the FBI's Wavelet Scalar Quantization (WSQ) compression algorithm
- scanned at 500 dots per inch
- have the dimensions of 800 pixels wide and 750 pixels high for the 10 rolled prints
- have the dimensions of 500 pixels wide and 1000 pixels high for the plain thumb impressions
- have the dimensions of 1600 pixels wide and 1000 pixels high for the four finger slap images

See Section 11.2 of NIST Manual and Section 3.9 and Appendix F of the FBI EFTS Manual for more information.

B. Optional data

The WIN EFTS Manual defines a multitude of optional information that may be sent with each transaction. The State of Oregon allows any of these optional values also. Most are not needed by Oregon and are just passed through to WIN for storage. A small amount of this optional information is valuable to Oregon, however, and as such, Oregon must impose some additional constraints so that this data meets with its policies and procedures. This optional information is discussed in greater detail below.

1. *Demographic Information*

Several of the optional demographic fields in the Type 2 Record defined in the WIN EFTS Manual are used in Oregon's CCH. Most of these values must meet the same editing constraints for both criminal and applicant cards. These fields are described below. A more concise description in a table format can be found in Appendix P.

a) *All Cards*

Of all the optional fields in the Type 2 Record defined in the WIN EFTS Manual, Oregon is most interested in social security numbers, miscellaneous identification numbers, aliases, scars, marks and tattoos and driver's license numbers. Even though this information is optional, it is strongly advised to provide it, if it is available.

(i) Social Security Numbers

The Oregon CCH can contain up to 10 social security numbers (SOC). The WIN EFTS only allows for four SOC's in field 2.016. If there are more than four SOC's for the subject, the EXTRA SOC's must be entered into field 2.909. When using 2.909 to enter these extra SOC's, the format should be as follows:

- Subfield 1: Required, must contain 'SC'
- Subfield 2: Required, must contain the actual SOC number

NOTE Currently, these extra SOC's will not be stored in WIN Archive as an SOC, but as a Misc Id Number.

(ii) Miscellaneous Identification Numbers

The FBI EFTS definition only allows for four miscellaneous identification numbers (MNU). If there are more than four MNU's for the subject, the extra MNU's must be entered into field 2.909, defined in WIN EFTS. Please note also that a driver's license number cannot be used in the MNU field. When using 2.909 to enter extra MNU's, the format should be as follows:

- Subfield 1: Required, must contain the type of MNU
- Subfield 2: Required, must contain the actual MNU number

(iii) Aliases

The Oregon CCH may contain up to 100 aliases for each subject. The aliases must be entered into field 2.908. This field can have up to 100 sets of data. The first data set must be the primary name (See Section II.A.2.a.i above). Each additional data set must be the aliases. The first ten aliases must also be entered into field 2.019 for the FBI.

This is a description of 2.908:

- Subfield 1: Required, enter the last or surname here, which can contain a single hyphen. An exception to this rule is that the last name cannot be repeated with a hyphen between them. Example: SMITH-SMITH. In this case LEDS requires the hyphen to be removed and the names to be concatenated. Example: SMITHSMITH.
- Subfield 2: Required, enter the subjects first name
- Subfield 3: Optional, enter the middle name(s) or middle initial

- Subfield 4: Optional, any generation descriptive suffix

Each alias in field 2.019 can only be a maximum of 30 characters and must be in the format of “LAST, FIRST MIDDLE SUFFIX” where:

- LAST is the surname and may contain a single hyphen. An exception to this rule is that the last name cannot be repeated with a hyphen between them. Example: SMITH-SMITH. In this case LEDS requires the hyphen to be removed and the names to be concatenated. Example: SMITHSMITH. LAST is required.
- FIRST is the given name. First is required.
- MIDDLE can be secondary name or just a single initial. If it is an initial, DO NOT include a period. MIDDLE is optional.
- SUFFIX would be JR or SR or II or III, etc. DO NOT include any punctuation. Suffix is optional.
- FIRST and LAST are separated by a comma, all other elements are separated by a single space, no additional punctuation is allowed.

The Oregon CCH has a limitation of only 30 characters for each alias; the first 10 aliases entered will be taken from field 2.019 (since field 2.019 also has a limit of 30 characters). If there are more than 10 aliases, the remaining entries to Oregon’s CCH will be taken from field 2.909. However, if any of these remaining entries are larger than 30 characters, the middle name will be truncated to a single initial and any suffixes may be removed to truncate the name down to 30 characters.

(iv) Scars, Marks and Tattoos ([Criminal Cards Only](#))

The Oregon CCH can contain up to 20 Scars, Marks and Tattoos (SMT) per subject. All of the SMT’s must be entered into field 2.921. Also, the first 10 SMT’s must be entered into field 2.026. Entries in 2.921 and 2.026 must be valid NCIC Code’s from the NCIC Reference Manual.

The format for field 2.921 is as follows:

- Subfield 1: Required, must NCIC^DESC, where:
 - NCIC – Required, is a valid NCIC Code from the NCIC Reference Manual
 - ^ - this symbol (called a ‘hat’) is used as a delimiter so that computers can easily parse out the NCIC Code from the DESCription.
 - DESC – Optional, is a description of the SMT
- Subfield 2: Optional, ORI of the agency with more info on the SMT
- Subfield 3: Optional, Date the SMT info was gathered
- Subfield 4: Optional, photo is available, must by Y or N if entered

Note: Photos of the SMT’s may be added in a Type 10 Record. See Section II.B.5 below.

(v) Driver's License Number

The FBI EFTS definition only allows for five drivers license numbers (DLN-J) for field 2.910. If there are more than five DLN-J's for the subject, the extra numbers must be entered into field 2.909, defined in WIN EFTS. When using 2.909 to enter extra DLN-J's, the format should be as follows:

- Subfield 1: Required, must contain the State Code
- Subfield 2: Required, must contain the actual DLN number

b) *Criminal Cards*

In addition to the above-mentioned fields, any criminal cards may also include one or more Dispositions. This field is not allowed on applicant cards.

(i) Dispositions

- In certain instances the subject receives a court disposition at the same time that his/her fingerprints are taken for the arrest. OSP-ISS allows these dispositions to be entered in the electronic fingerprint transaction. Oregon is an NFF state and as such, it does not send dispositions to the FBI. Therefore, under no circumstances should disposition information be entered into field 2.051. All disposition information must be entered in field 2.938 as described below. NOTE: Subfields 10, 11, 12, 13 and 15 must be for the same Oregon statute.
- Subfield 1: Required, Judicial Agency ORI, must be a valid Judicial ORI from the *Oregon ORI Table*. All judicial ORI's end with a J.
- Subfield 2: Required, Judicial Agency Name, must be a valid Judicial Agency Name from the *Oregon ORI Table*.
- Subfield 3: Required, Surname, must be the last name of the subject. This field must match Subfield 1 of the first data set of field 2.908.
- Subfield 4: Required, First name of subject. If used, this field must match Subfield 2 of the first data set of field 2.908.
- Subfield 5: Optional, Additional Name(s). If used, this field must match Subfield 3 of the first data set of field 2.908.
- Subfield 6: Optional, Suffix. If used, this field must match Subfield 4 of the first data set of field 2.908.
- Subfield 7: Required, Court Case Number. The case number that has been assigned by the court that provided the disposition. This cannot be more than 12 characters.
- Subfield 8: Optional, Charge Sequence Number, not used by Oregon
- Subfield 9: Optional, Date of Offense, not used by Oregon. However if this is entered, it cannot be after the date of arrest (field 2.045).
- Subfield 10: Required, Charge Literal, free text description of the offense. This will be entered into the Oregon CCH. **** NOTE ****

Some of the charges in the *Oregon Revised Statutes Table* have a required comment. This field **MUST** begin with that comment (if it exists) and the user may add free text to the end of it. Only use easily understood abbreviations. No punctuation except for a hyphen or slash. If there are no comments, the value from Subfield 11 must be duplicated here.

- Subfield 11: Required, Charge Statute, This is description of the charge and must match that value in the *Oregon Revised Statutes Table*.
- Subfield 12: Required, State Offense Code. This must contain the ORS Code for the crime and must match an entry in the *Oregon Revised Statutes Table*.
- Subfield 13: Required, Charge NCIC Code. This four digit value is retrieved from the *Oregon Revised Statutes Table* for this crime.
- Subfield 14: Optional, Counts. The number counts for this crime. It must be a number from 1 to 999. If this field is left blank, the number of counts is assumed to be one.
- Subfield 15: Required, Charge Severity. Must be M (Misdemeanor), F (Felony), V (Violation) or O (Offense). Must match the appropriate value in the *Oregon Revised Statutes Table* for this crime.
- Subfield 16: Required, Action Literal. This field describes the actual court disposition in a format that can be easily parsed by the FOCUS Controller to be entered into Oregon's CCH. This field must contain information about any fines that have been levied. It also must contain information about Jail/Prison time that has been issued, along with any Jail/Prison time that has been suspended and/or any Probation time that has been issued. The format for this field is FFFFF^JJJJJ^SSSSSS^PPPPP, where:
 - ^ is a delimiter used to separate the various pieces of information
 - FFFFF is any fine that has been levied. This value contains only digits and is the fine rounded to the nearest dollar amount. DO NOT include the dollar sign symbol (\$). For example, a fine of \$599.95 would be entered as '600'.
 - JJJJJ is the Jail/Prison time that has been issued. See the length of time format described below.
 - SSSSS is the Jail/Prison time that has been suspended. See the length of time format described below.
 - PPPPP is the Probation time that has been issued. See the length of time format described below.
 - Length of Time Format: The format for the three lengths of sentencing time described above, is ##Y##M##D##H (as described below). Not all of the values (Y, M, D and H) need to be included, only those that are necessary to properly describe the sentence.
 - ## is a number between 1 and 3 digits
 - Y denotes the YEARS portion of the sentence
 - M denotes the MONTHS portion of the sentence

- D denotes the DAYS portion of the sentence
- H denotes the HOURS portion of the sentence
- Example: a \$600 fine and a 5 year prison sentence with 1 1/2 years prison suspended and 2 years probation would be entered as '600^5Y^1Y6M^2Y'
- Example: a \$450 fine with no other sentence would be '450'. Notice that the ^ delimiter is not needed if there is no further information.
- Example: a 2 year Jail/Prison sentence with nothing suspended and 7 years of probation time would be '^2Y^^7Y'. Notice that we need to put ^ delimiters in as place holders for previous information that does not exist.
- Subfield 17: Required, Court Action. Must be a valid three digit code from the Disposition Codes Table in Appendix I.
- Subfield 18: Required, Action Date. This is the date that the sentencing took place.
- Subfield 19: Optional, Charge Comments. This is a free text description of the sentence. The user can use this field to further describe the sentence that was described in Subfield 16 above. This field can also be used for sentence information that does not go in subfield 16, examples: 8d house arrest or probation continued. Only use easily understood abbreviations. No punctuation except for a slash or a hyphen.

2. Palm prints

Palm prints are currently optional in the State of Oregon. However, palm prints are strongly suggested. If an agency intends to send palm prints, they must adhere to the following criteria. The Palm Prints are stored in the NIST/EFTS Type 15 Record. See section 20 of the NIST Manual for more information on storing Palm Prints.

Oregon requires that the Palm Prints are gathered in one of the two following configurations, if possible. All palm print transmissions must come in with a corresponding fingerprint card and TCN.

- Right Full Palm
- Left Full Palm
- Right Writers Palm
- Left Writers Palm

OR

- Right Upper Palm
- Right Lower Palm
- Left Upper Palm
- Left Lower Palm
- Right Writers Palm
- Left Writers Palm

The Palm Print images must be taken with the following criteria:

- Resolution of 500 dots per inch
- Eight bits per pixel grayscale
- Compressed with the FBI's WSQ Algorithm

3. *Mug shots*

Mug shots are a special kind of Facial Image. They are a staged, identifying photo of the subject's face. Mug shots are optional for criminal cards and not allowed for applicant cards. All mug shot transmissions must come in with a corresponding arrest fingerprint card and TCN.

The State of Oregon is not currently storing Mug Shots, but it plans to in the future. So, if Mug Shots are to be included, they must meet the following criteria. This criteria is based upon the *Face Recognition Format for Data Interchange* (ANSI/INCITS 385-2004) which has been adopted by the Department of Homeland Security. The Department of Homeland Security chose this standard because the images:

- can display even small identifying marks (moles, scars, etc.) to human users
- can easily (and more legally) be used in a photo line up
- require a small storage footprint
- can be more easily used by software providing face recognition algorithms for automatic matching

By requiring vendors to adhere to these criteria, Oregon is better positioned to take advantage of these features in the future.

The mug shot must be contained in a NIST/EFTS Type 10 Record. Field 10.003 must be 'FACE' and field 10.013 must be '11'. See Section 15 of the NIST Manual and Appendix K of the FBI EFTS Manual for more information.

a) *Image Properties*

For storage, printing and sharing, it is important that all images are captured with similar data patterns. The following criteria must be followed. For more information see Section 7.4 and Annex A of the ANSI/INCITS 385-2004.

- The image must be a JPEG image.
- The resolution of the image must be at least 300 dots per inch (dpi).
- The aspect ratio of 1:1. That is, the number of pixels per inch (ppi) in the vertical dimension shall equal the number of ppi in the horizontal direction.
- The image itself should be 1.4 inches wide and 1.75 inches high (about 420 pixels wide and 525 pixels high at 300 dpi).
- It is preferred that the image be in a 24 bit RGB Color, but 8 bit gray scale is acceptable.

b) *Image Positioning*

It is important that all mug shots have the subject's head positioned in a uniform manner. This allows humans and computers to more easily compare different mug shots. To this end, the following criteria must be followed. For more information see Section 8.3 and Annex A of the ANSI/INCITS 385-2004.

- The subject's eyes must be level. That is a line drawn through the eyes must be parallel to the bottom of the image.
- The nose and mouth should be centered horizontally in the image. That is, a vertical line that splits both the nose and the mouth should be equally distant from the left and right sides of the image.
- The eyes should be between 50% and 70% of the vertical distance up from the bottom of the image. About 260 to 365 pixels from the bottom of a 420 by 525 pixel image.
- The width of the head should be about 55% to 60% of the total horizontal width of the image. About 240 pixels wide in a 420 by 525 image.
- The height of the head should be about 70% to 80% of the vertical height of the image. About 395 pixels high in a 420 by 525 image.

c) *Scene Requirements*

It is also important to have similar scenes from one mug shot to another. The scene includes the background, facial expressions, lighting and facial position. For more information see Section 7.2 and Annex A of the ANSI/INCITS 385-2004.

- The background should be plain, of a light color and uniform. For computer recognition, the best background is 18% gray with a plain smooth surface.
- The lighting must be uniform across the face and background. There must be no shadows on the face, including the eye sockets. The eye and pupil must be clearly visible. Also, there can be no shadows on the background.
- The subject's face should be positioned straight towards the camera. Also, the subject must be looking directly into the camera.
- Images with the subject facing left or right (90 degrees from straight on), shall only be used in addition to a straight on image.
- It is best if the subject has a normal relaxed expression. Care should be taken to make sure the subject's mouth remains closed and the eyes are easily seen. If the subject normally wears glasses, these should remain on, but the glasses must not interfere with the viewing of the eyes.

d) *Photographic Requirements*

Lastly, it is important to have similar photographic requirements. These include focus and exposure. For more information see Section 7.3 and Annex B of the ANSI/INCITS 385-2004.

- The image shall not be over or under exposed. Each patch of skin on the subject's face shall be clearly visible.
- The subject's face, from ear-to-ear and top-to-chin shall be in focus. It is acceptable if the background is out of focus.
- Unnatural lighting (red, yellow, etc.) is not allowed.

4. Other Facial Images

The State of Oregon accepts other types of facial images, besides Mug Shots. These images are also contained in a Type 10 Record and must meet the requirements found in Section 15 of the NIST Manual and Appendix K of the FBI EFTS Manual for more information. Furthermore, the following OSP restrictions must also be applied.

a) *Image Properties*

For storage, printing and sharing, it is important that all images are captured with similar data patterns. The following criteria must be followed.

- The image must be a JPEG image.
- The resolution of the image must be at least 300 dots per inch (dpi).
- The aspect ratio of 1:1. That is, the number of pixels per inch (ppi) in the vertical dimension shall equal the number of ppi in the horizontal direction.
- The image itself should be 1.4 inches wide and 1.75 inches high (about 420 pixels wide and 525 pixels high at 300 dpi).
- It is preferred that the image be in a 24 bit RGB Color, but 8 bit gray scale is acceptable.

5. SMT Images

The State of Oregon accepts other types of images, besides Mug Shots. These images are also contained in a Type 10 Record and must meet the requirements found in Section 15 of the NIST. Furthermore, the following OSP restrictions must also be applied.

a) *Image Properties*

For storage, printing and sharing, it is important that all images are captured with similar data patterns. The following criteria must be followed.

- The image must be a JPEG image.
- The resolution of the image must be at least 300 dots per inch (dpi).
- The aspect ratio of 1:1. That is, the number of pixels per inch (ppi) in the vertical dimension shall equal the number of ppi in the horizontal direction.
- The image size should be adequate to properly display the SMT. Keep in mind that it is desirable to keep images sizes small for data storage.

- It is preferred that the image be in a 24 bit RGB Color, but 8 bit gray scale is acceptable.

b) *Image Positioning*

It is important that the SMT images are taken/scanned in such a way as too easily discern the SMT. To this end, the following guidelines should be applied.

- The SMT should be centered both horizontally and vertically in the image.
- The SMT should take up about 70% to 80% of the total horizontal length of the image.
- The SMT should take up about 70% to 80% of the total vertical length of the image.
- The SMT should be positioned so that the top of the SMT in the image would be considered to be the top of the SMT on subject, when the subject was standing in a normal up right position.

6. *Signature of subject*

The State of Oregon strongly desires, but does not require, that an image of the signature of the person being fingerprinted is captured and transmitted with the electronic finger print card.

The signature must be a scanned binary image no more than 2.5 inches wide and .375 inches high, as this is the maximum allowed space on the printed card. The signature is stored in a Type 8 record, see Section 13 of the NIST Manual for more information.

III. Transfer to the State

Once the information has been gathered, it needs to be electronically transferred to OSP-ISS. This must include transfer to a printer at OSP-ISS and may also include transfer to the GTC for further electronic processing (direct submit). The network used for the electronic transfer and the data transport mechanism are described below.

A. Network

All incoming electronic fingerprint cards must be transmitted using a TCP/IP connection to OSP-ISS. The State of Oregon provides a TCP/IP Backbone that is available to all government agencies. This backbone is monitored and maintained by the Oregon Department of Administrative Services (DAS). OSP-ISS is directly connected to this backbone.

Any agency can also connect directly to this backbone, with DAS help, or they may have their own connection to the Internet. Either way is acceptable. Each agency will be given a login assigned by OSP-ISS. Agencies will login to ISS using SSL for secured transmissions.

B. Data Transport Mechanism

The data transport mechanism is the application level transport protocol used for the Livescan Device to communicate with the GTC and Print Servers at OSP-ISS.

1. Direct Submit

Those agencies that are directly submitting their fingerprint cards to the GTC for further electronic processing must use SMTP or FTP. FTP is the preferred method. See Section 4.3 of the WIN Technical System Design (TSD) for more information. The data must be formatted in a NIST/EFTS Record as described in Section II above and in the WIN EFTS Manual.

The agency must coordinate with the OSP Livescan Coordinator and WIN/NEC to establish all of the connection and/or protocol parameters necessary for either of the two types of communications.

a) *SMTP – Simple Mail Transfer Protocol*

One of the methods of delivering the electronic fingerprint card is with SMTP. The Livescan device must MIME encode the NIST/EFTS Packet and attach it to an email. The email is then sent to the GTC. The GTC will detach and unencode the NIST/EFTS Packet and continue its processing.

b) *FTP – File Transfer Protocol*

The second method for delivery of the electronic fingerprint card is with FTP. The agency is provided with an Input Device ID and Group. The agency will also have a unique Password and the Host Name or IP Address of the GTC. This information will be used by the Livescan Device to create an FTP connection to the GTC. Once the connection is complete, the NIST/EFTS Packet can be transferred to the hard drive of the GTC. The GTC constantly looks for new files in this directory. When it finds one, it will load the NIST/EFTS Packet and continue its processing.

2. Printing Cards

Currently each vendor must provide its own method of printing the fingerprint cards at OSP-ISS. OSP-ISS makes no requirements on the electronic data format to be used or the data transport mechanism used for the printed cards. These can be vendor proprietary. The only requirements are that the printed finger print card conforms to the formats described in Section V (Printing) and that the TCP/IP network be utilized for encrypted data transportation, as discussed in Section IV.A.

At a point yet to be determined in the near future, OSP-ISS will no longer require vendors to provide their own method of printing at OSP-ISS. Instead, OSP-ISS will provide a Universal Print Server that will generate a hard copy from the NIST Packet that is submitted. However, vendors will still be required to meet the printing requirements for any cards printed at local sites that will be mailed to OSP-ISS.

IV. Security

In general, all Livescan installations and data transmissions must meet the current CJIS Security Standards as described in *CJIS Security Policy*, version 4.4. The Livescan Device itself must also, per OSP policies, meet some further requirements as described in the *Livescan Security Checklist*. Briefly, OSP utilizes a Secure Sockets Layer (SSL) methodology which employs cryptographic protocols that provide secure network communications between the Livescan device and the central site at ISS. Use of the SSL requires some additional software installation or changes on the Livescan, as well as operator usernames and passwords to operate. Each agency will be given detailed instructions on how to connect to OSP via SSL. The following requirements contain important information about how your Livescan operates in the SSL environment.

A. Secure Sockets Layer (SSL)

Active X and Java need to be active and installed for SSL software to load properly. In addition, Microsoft File Printer Sharing must be installed and active.

It is preferred that the each Livescan user be given Administrative rights on the Livescan device. This will assist in troubleshooting.

To allow a Jail Management System (JMS) to connect to the Livescan device via the local network for data transfers, ISS requires the IP address of the JMS server. Because of CJIS Security requirements, non law enforcement agencies with Livescans will not have the ability to connect to local networks while connected to OSP ISS thru SSL.

Each Livescan device will have its own unique login User Name and Password. Passwords will expire every 90 days. The system will require the password to be changed before expiration. Passwords are required to be at least 8 characters, and be alphanumeric. You cannot reuse the same password.

The user must be logged in to the SSL to transmit data to OSP ISS. Each SSL session is limited to 80 days, with a maximum of 12 hrs of inactivity. If the Livescan is inactive for 12 hours, or if it has been logged in to the SSL for more than 80 days without logging out and logging back in again, the user must log into the SSL again to reestablish the connection. There is a screen icon showing the SSL network connection status that will assist the user in determining if they need to log in again. **THIS INFORMATION IS CRITICAL TO SUCCESSFUL TRANSMISSION OF DATA TO THE STATE.** Complete information on connecting through the SSL, including the location and view of the screen icon, will be included with the Livescan setup information received from ISS.

B. Firewall

Each Livescan device must be behind a Firewall. The firewall must limit, based upon IP Address, the access to the Livescan Device to those machines that truly need

access. This firewall can be implemented through hardware or a local software firewall located on the Livescan Device itself is acceptable.

C. Machine Specific Requirements

Each Livescan Device must have up to date Virus Checking software installed and active on the system. The Virus Checking software must also be capable of finding and neutralizing any malware/spyware.

Any security updates to the Operating System (OS) must be in place within seven days of being released by the OS Vendor.

Access to the machine must require the person taking fingerprints to login. The password must be a strong password as described in <http://www.microsoft.com/athome/security/privacy/password.mspix>. The Livescan Device must automatically discontinue the current logged in session after 15 minutes of inactivity.

V. Printing

The Livescan Devices are required to cause the printing of a paper fingerprint card at OSP-ISS and locally as described below. The data format and card layout are shown in several appendices, B through E, showing templates for the various cards. Most of the information in these templates comes from the NIST/EFTS Records described in Section II. The following sections describe the templates.

The textual data on all cards must be printed in Courier 10 Point Font, unless otherwise specified.

A. Locally

Agencies must be able to produce a printed hard copy fingerprint card locally in the event of a communications or network failure that does not allow for electronic transmission to the state. Should an Agency need to print a card locally for mailing to OSP-ISS, the following requirements must still be met.

B. To The State

In order to print successfully to the state, as stated in section IV.A. above, Microsoft File Printer Sharing software must be installed and active at the local level.

C. Criminal Cards

This section discusses the format for cards with a TOT of CAR and CNA (see Section II.A.1.a). Criminal cards are printed on FBI FD-249 card stock. Data is printed on the front and the back of the card. Extra data is printed on one or more blank extra data cards, as needed. The templates for the Criminal cards can be found in Appendix B.

The templates are mostly self-explanatory, but some of the information needs further explanation. The following information must be read in conjunction with the Criminal card template.

1. Name

Use field 2.908 to display the name. The first set of 2.908 is the primary name. The box for the name can contain two lines. Place the name towards the top of the box. Subfield #1 (last name) must be first, then a comma and Subfield #2 (first name). If Subfield #3 exists, add a space and then Subfield #3. If Subfield #4 exists, add a space and then Subfield #4.

If the name is too long to fit on a single line, then it must be wrapped to the second line. Care should be taken to make sure the wrap occurs at a space or a comma.

2. Alias

Sets 2 – 5 (if they exist) of field 2.908 are aliases. They should be displayed on each line in the aliases box on the front of the criminal card. If, for some reason, an alias is long enough that it would over run the box, the vendor should wrap the alias to the next line and indent with four spaces. Care should be taken to make sure the wrap occurs at a space or a comma.

3. Contributing Agency

The contributing agency information is printed in the top right corner on the back of the criminal card. This information is all derived from the ORI contained in field 2.073. Using this ORI and the ORI Lookup Table provided by OSP-ISS, the vendor will determine the appropriate Agency Name. The Agency Name will be placed in field 2.975.

This field is a two line field. The ORI (2.073) is printed on the first line. The Agency Name (2.975) is printed on the second line.

4. Charges

The criminal card can hold information for up to eight charges. To accomplish this however, OSP-ISS needed to ignore the pre-printed lines on the criminal card (See Appendix B). The label CNTS is short for Counts. Since the counts field (2.936.8) is optional, if it does not exist, the number 1 should be defaulted for counts.

5. Dispositions

Due to the amount of disposition information needed to update the Oregon CCH file appropriately, the criminal card form can hold information for only two dispositions. The label CNTS is short for Counts. Since the counts field (2.938.14) is optional, if it does not exist, the number 1 should be defaulted for counts.

6. Livescan Identifying Information

Information describing the device that was used to take the fingerprints and the date and time the fingerprints were taken, must be printed at the top of the box for the “Left Four Fingers Taken Simultaneously.” This information is printed horizontally with one space between each field. This information is printed in Courier 9-point font. The information must be printed in the following order Unique device Mnemonic (2.067.3), Make (2.067.1), Model (2.067.2), Date (2.038) and Time (2.481).

7. Printer Identifying Information

Information describing the printer that was used to make the hard copy of the fingerprints and the date and time the hard copy was created, must be printed at the top of the box for the “Right Four Fingers Taken Simultaneously.” This information is printed horizontally with one space between each field. This information is printed in Courier 9-point font. The information must be printed in the following order Printer Model, Printer Mnemonic and Print Date and Time. ***NOTE*** this information is not stored in the NIST Record.

8. Driver’s License Number

The “Miscellaneous Numbers” block on the back of the criminal card will be used for printing any DLN’s (2.910) submitted.

9. Extra Data

The NIST/EFTS Data Format and the Oregon CCH contain allowances for much more data than can be printed on the criminal card (FBI FD-249). It is a policy of OSP-ISS that anything that can be entered into the Oregon CCH must be printed onto a paper card as the official record. To this end, there is a special blank fingerprint card that can be used for extra data elements that cannot fit on the main card.

Information will be printed on both the front and the back of the blank card, if necessary. The top four lines of the front are reserved for information to identify the card and match it with the main criminal card. The first three lines contain the identifying information and the fourth line is to remain blank. The remainder of the card will contain the extra data, which will be printed in two columns. See the examples in Appendix D.

The blank card is basically a free form type of card, so long as the information is printed in the order on the card that is described below. Care should be taken to make sure that as much of the extra data as possible is printed on the front of the card. The back of the card should only be used if there is a lack of room on the front for the extra data.

Furthermore, it is desired that as few cards are printed as possible, so the front and back of an extra card should be filled before creating a second blank card.

a) *Identifying information*

The identifying information must be printed on the top of the front of each blank card. The three lines in the top left corner must contain the subject's name, FPN and date of arrest in the following format:

NAME: [2.908 #1],[2.908 #2] [2.908 #3] [2.908 #4]

FINGERPRINT CONTROL NUMBER (FPN): [1.04] (remove the leading OR)

DOA: [2.045] (format like **MM-DD-YYYY**)

The two lines in the top right corner must contain the ORI and Agency Name in the following format (See section V.A.3 above):

[2.073](Agency ORI)

[2.975](Agency Name)

b) *Charges*

All charges after the first eight must be printed to the extra blank card. Each extra charge must be printed in the following format, which is the same as on the main card.

9. [2.936.9 #9] [2.936.5 #9] [2.936.4 #9]

CNTS: [2.936.8 #9] [2.936.10 #9]

10. [2.936.9 #10] [2.936.5 #10] [2.936.4 #10]

CNTS: [2.936.8 #10] [2.936.10 #10]

c) *Dispositions*

The main card has room for only two dispositions. All extra dispositions must be printed to the extra blank card. Each extra disposition will be printed in similar format to the dispositions on the main card. The format for the dispositions is as follows (NOTE: 2.938.10 is only printed if different from field 2.908.11):

4. [2.938.1 #3] [2.938.2 #3]

[2.938.15 #3] [2.938.12 #3]

[2.938.11 #3]

CNTS: [2.938.14 #3] [2.938.10 #3]

[2.938.17 #3] [2.938.18 #3] [2.938.7 #3]

[2.938.16 #3]

[2.938.19 #3]

5. [2.938.1 #4] [2.938.2 #4]

[2.938.15 #4] [2.938.12 #4]

[2.938.11 #4]

CNTS: [2.938.14 #4] [2.938.10 #4]

[2.938.17 #4] [2.938.18 #4] [2.938.7 #4]

[2.938.16 #4]

[2.938.19 #4]

d) *Social Security Numbers*

The main card has room for two SOC's. Any extra SOC's must be placed on the blank card. Care should be taken in printing these extra SOC's, because they are contained in two separate fields (2.016 and 2.909, See Section II.B.1.a.i above). Each of these SOC's must be labeled as such. Place 'SOC:' in front of every extra SOC. There must be only one SOC per line in its column of data. For example:

SOC: [2.016 #3]
 SOC: [2.016 #4]
 SOC: [2.909.2 #1]
 SOC: [2.909.2 #2]

e) *Dates of Birth*

The main card has room for only one DOB. Any extra DOB's must be placed on the blank card. Extra DOB's must be labeled as such. Place 'DOB:' in front of every extra DOB. There must be only one DOB per line in its column of data. For example:

DOB: [2.022 #2] (*format like* MM-DD-YYYY)
 DOB: [2.022 #3] (*format like* MM-DD-YYYY)
 DOB: [2.022 #4] (*format like* MM-DD-YYYY)

f) *Aliases*

The box on the main criminal card for aliases can contain four lines of information. If the alias is so long that it would exceed the width of the data column, then the alias must be wrapped to a new line with an indentation of four spaces. If the aliases are short enough to fit on a single line, then four aliases should be placed in this box. However, if these aliases do not fit appropriately because of a long name, then the main card will hold less than four aliases. Each alias that was not printed on the main card must be printed on the extra blank card. Aliases will be printed in a similar fashion as the name. The extra aliases on the blank card however, must contain the label 'AKA:' in front of them. For example:

AKA: [2.908.1 #4],[2.908.2 #4]
 [2.908.3 #4] [2.908.4 #4]
 AKA: [2.908.1 #5],[2.908.2 #5] [2.908.3 #5] [2.908.4 #5]

g) *Scars, Marks & Tattoos*

The back of the criminal card can print ten SMT's. Like the DOB's and SOC's, if there are more SMT's than can be printed to the main criminal card, these must be printed to the extra blank card. These SMT's must be appropriately labeled with 'SMT:' and be on its own line. For example:

SMT: [2.921.1 #11]
 SMT: [2.921.1 #12]

h) *Driver's License Number*

The "Miscellaneous Numbers" block on the back of the criminal card will be used for printing any DLN's submitted. Like the MNU's, if there are more

DLN's than can be printed to the main criminal card, these must be printed to the extra blank card. These DLN's must be appropriately labeled with 'DLN:' and be on its own line. For example:

DLN: [2.910]

D. Applicant Cards

This is the format for cards with a TOT of NFUF or MAP, see Section II.A.1.a. Applicant cards are printed on FBI FD-258 card stock. Data is printed on the front of the card only. Extra data is printed on one or more blank cards, as needed. The templates for the Applicant cards can be found in Appendix C.

The templates are mostly self-explanatory, but some of the information needs further explanation. The following information must be read in conjunction with the Applicant card template.

1. Name

Use field 2.908 to display the name. The first data set of 2.908 is the primary name. The box for the name can contain two lines. Place the name towards the top of the box. Subfield #1 (last name) must be first, then a comma and Subfield #2 (first name). If Subfield #3 exists, add a space and then Subfield #3. If Subfield #4 exists, add a space and then Subfield #4.

If the name is too long to fit on a single line, then it must be wrapped to the second line. Care should be taken to make sure the wrap occurs at a space or a comma.

2. Alias

Set 2 and greater (if they exist) of field 2.908 is an alias. The alias box on the applicant card is rather small, but as many aliases as possible should be placed here. Use the same name wrapping technique as discussed in section V.A.6.f.

3. Date Printed

The box for the date the subject was printed is quite narrow. If the standard format for the date of MM-DD-YYYY was used, the date would overrun into the Signature of Official Taking Fingerprints. To take care of this, the date printed must be printed on two lines. The top line contains the month and day and the bottom line contains the year. As an example:

MM/DD
YYYY

4. Originating Case Agency Number

If an Account Billing code (2.479.2) is present, it will be printed in the OCA field. If both an Account Billing code and a miscellaneous agency-use tracking number (2.009) are present, the numbers will be concatenated and printed in the OCA field. The Account Billing code will precede the miscellaneous agency-use tracking number.

5. Reason for Fingerprinting

The Reason for Fingerprinting needs to contain the actual RFP and, where applicable, the code used for CCH entry (2.479.1) as noted in Appendix H. Place the RFP (2.037) towards the top of the RFP field and place the CCH entry information (2.479.1) below the RFP field.

6. Livescan Identifying Information

Information describing the device that was used to take the fingerprints and the date and time the fingerprints were take, must be printed at the top of the box for the "Left Four Fingers Taken Simultaneously." This information is printed horizontally with one space between each field. This information is printed in Courier 9-point font. The information must be printed in the following order 2.067.3, 2.067.1, 2.067.2, 2.038 and 2.481.

7. Printer Identifying Information

Information describing the printer that was used to make the hard copy of the fingerprints and the date and time the hard copy was created, must be printed at the top of the box for the "Right Four Fingers Taken Simultaneously." This information is printed horizontally with one space between each field. This information is printed in Courier 9-point font. The information must be printed in the following order Printer Model, Printer Mnemonic and Print Date and Time. ***NOTE*** this information is not stored in the NIST Record.

8. Driver's License Number

The "Miscellaneous No. MNU" space on the front of the applicant card will be used for printing any DLN's (2.910) submitted, when there are no MNU's submitted. Otherwise the DLN will be printed as Extra Data (see below).

9. Extra Data

The NIST/EFTS Data Format and the Oregon CCH contain allowances for much more data than can be printed on the applicant card (FBI FD-258). It is a policy of OSP-ISS that anything that can be entered into the Oregon CCH must be printed onto a paper card as the official record. If there is not enough room for the extra data, the special blank fingerprint card can be used for extra data elements that cannot fit on the main card.

Information will be printed on both the front and the back of the extra data card, if necessary. The extra data will be printed in two columns. See the examples in Appendix D. If the blank extra data card is also needed, the top four lines of the front are reserved for information to identify the card and match it with the main applicant card. The first three lines contain the identifying information and the fourth line is to remain blank.

The blank extra data card is basically a free form type of card, so long as the information is printed neatly in two columns and like data elements are grouped together. Care should be taken to make sure all of the extra data is printed on one

full side of the card, if possible. The back of the extra data card should only be used if there is a lack of room on the front for the extra data.

a) *Identifying information*

The identifying information must be printed on the top of the front of each blank extra data card. The three lines in the top left corner must contain the subject's name, TCN and date of birth in the following format:

NAME: [2.908 #1],[2.908 #2] [2.908 #3] [2.908 #4]
 TCN: [1.09]
 DOB: [2.022 #1] (*format like MM-DD-YYYY*)

The first line in the top right corner must contain the ORI and Agency Name in the following format.

[2.073] (Agency ORI)
 [2.975] (Agency Name)

b) *Social Security Numbers*

The main card has room for only one SOC. Any extra SOC's must be placed on an extra data card. Care should be taken in printing these extra SOC's, because they are contained in two separate fields (2.016 and 2.909, See Section II.B.1.a.i above). Each of these SOC's must be labeled as such. Place 'SOC:' in front of every extra SOC. There must be only one SOC per line in its column of data. For example:

SOC: [2.016 #2]
 SOC: [2.016 #3]
 SOC: [2.016 #4]
 SOC: [2.909.2 #1]

c) *Dates of Birth*

The main card has room for only one DOB. Any extra DOB's must be placed on an extra data card. Extra DOB's must be labeled as such. Place 'DOB:' in front of every extra DOB. There must be only one DOB per line in its column of data. For example:

DOB: [2.022 #2] (*format like MM-DD-YYYY*)
 DOB: [2.022 #3] (*format like MM-DD-YYYY*)
 DOB: [2.022 #4] (*format like MM-DD-YYYY*)

d) *Miscellaneous Numbers and Driver's License Numbers*

The main applicant card only has room for one MNU, so like the DOB's and SOC's, any MNU's or DLN's above and beyond one must be printed on an extra data card. These MNU's must be labeled appropriately and placed on individual lines. The label for an extra MNU or DLN should come from field 2.909.1 for each extra number. For example:

[2.909.1 #6]: [2.909.2 #6]
 [2.909.1 #7]: [2.909.2 #7]

e) *Aliases*

The main applicant card can hold up to three aliases. Each additional alias that was not printed on the main card must be printed on an extra data card. Aliases will be printed in a similar fashion as the name. The alias however, must contain the label 'AKA:' in front of it. Also, if the alias is so long that it would exceed the width of the data column, then the alias must be wrapped to a new line with an indentation of four spaces. For example:

```
AKA: [2.908.1 #4],[2.908.2 #4]
      [2.908.3 #4] [2.908.4 #4]
AKA: [2.908.1 #5],[2.908.2 #5] [2.908.3 #5] [2.908.4 #5]
```

E. Palm Print Cards

This section discusses the format for cards with a TOT of CAR or CNA (see Section II.A.1.a) that also contain Palm Print images. Palm Print images are printed on blank card stock, therefore all lines and headers must also be printed. Data is printed on the front and the back. The template for the Palm Print cards can be found in Appendix E. The same template is used for both Full Palm Prints and for Upper and Lower Palm Prints and accommodates both capture types. See section II.B.2 for more information about the types of Palm Prints that the State of Oregon allows.

The templates are mostly self-explanatory, but some of the information needs further explanation. The following information must be read in conjunction with the Palm Print card template.

1. *Identifying Information*

The identifying information is the same for both types of Palm Prints. The top ¾" of the card (both right and left) must contain enough information to identify the individual who has had the palm prints taken. The data shall be printed in two rows. The first row of data shall contain the SID, Name, Sex, Race, DOB and FPN.

The second row of data must contain the Date Printed, Official taking prints, Controlling Agency Info and OCA.

a) *Contributing Agency*

This information is all derived from the ORI contained in field 2.073. Using this ORI and the current *Oregon ORI Table* provided by OSP-ISS, the vendor will determine the appropriate Agency Name.. The Agency Name will be placed in field 2.975.

This field is a two line field. The ORI (2.073) is printed on the first line. The Agency Name (2.975) is printed on the second line.

b) *FPN*

The Palm Print Images are only allowed with criminal cards. For criminal cards, the TCN (field 1.09) contains the FPN (Fingerprint Control Number). Remove the 'OR' from the TCN and the remainder is the FPN. See Section II.A.1.d above.

c) *Name*

Use field 2.908 to display the name. The first data set of 2.908 is the primary name. Subfield #1 (last name) must be first, then a comma and Subfield #2 (first name). If Subfield #3 exists, add a space and then Subfield #3. If Subfield #4 exists, add a space and then Subfield #4.

2. *Lines on the card*

The Palm Prints are printed on a blank card. Therefore, any lines displayed in the template must be drawn during the printing process. Care should be taken to ensure that these lines are drawn to separate the data and images as shown in Appendix E. NOTE: Appendix E is not drawn exactly to scale. The sizes of the images are most important and must be maintained as described below.

a) *Livescan Identifying Information*

Information describing the device that was used to take the fingerprints and the date and time the fingerprints were taken, must be printed directly below the "Identifying Information" and above the palm images. This information is printed horizontally starting at the left side of the box, with one space between each field. This information is printed in Courier 9-point font. The information must be printed in the following order Unique device Mnemonic (2.067.3), Make (2.067.1), Model (2.067.2), Date (2.038) and Time (2.481).

b) *Printer Identifying Information*

Information describing the printer that was used to make the hard copy of the fingerprints and the date and time the hard copy was created, must be printed directly below the "Identifying Information" and above the palm images. This information is printed horizontally so that it ends at the right side of the box, with one space between each field. This information is printed in Courier 9-point font. The information must be printed in the following order Printer Model, Printer Mnemonic and Print Date and Time. ***NOTE*** this information is not stored in the NIST Record.

3. *Full Palm Image Format*

This is the image layout for those instances where the Full Palm Prints were taken (See section II.B.2). The Right prints are on the front of the card and the Left prints are on the back.

a) *Full Palm Image*

The Full Palm Image is printed to the right of the card. It is printed vertically with the heel of the hand at the left bottom of the card and the fingertips toward the top of the card. The Right Full Palm is on the front of the card and the Left Full Palm is on the back of the card. The Full Palm Image takes up the right 5.5 inches of the card width and the lower 7.25 inches of the card length.

b) *Writer's Palm Image*

The Writer's Palm Image is printed to the left of the Full Palm Image. It is printed vertically with the bottom of the image at the left bottom of the card. The Right Writer's Palm is on the front of the card and the Left Writer's Palm is on the back of the card. The Writer's Palm Image takes up the left 2.5 inches of the card width and the lower 7.25 inches of the card length.

4. *Upper and Lower Palm Image Format*

This is the image layout for those instances where the Palm Prints have been divided in their upper and lower portions (See Section II.B.2). The Right Upper and Lower Palm Images are on the front of the card and the Left Upper and Lower Palm Images are on the back of the card. The Upper and Lower Palm Images take up the right 5.5 inches of the card width and the lower 7.25 inches of the card length.

a) *Upper Palm*

The Upper Palm is printed in the upper portion of the palm image area directly below the identifying information. The image is printed with the fingers pointing toward the top of the card.

b) *Lower Palm*

The Lower Palm is printed in the lower portion of the palm image area directly below the upper palm image. The bottom of the image (heel of the hand) is placed toward the bottom of the card.

c) *Writers Palm*

The Writer's Palm Image is printed to the left of the Upper and Lower Palm Images. It is printed vertically with the bottom of the image at the left bottom of the card. The Right Writer's Palm is on the front of the card and the Left Writer's Palm is on the back of the card. The Writer's Palm Image takes up the left 2.5 inches of the card width and the lower 7.25 inches of the card length.

VI. Testing

In order to ensure that fingerprint cards are printed correctly and that all databases are updated properly, a testing process is required of each agency's/vendor's Livescan

equipment. This applies to each Livescan Device that connects to OSP-ISS. Anytime an agency gets a new Livescan Device, or there are any hardware/software upgrades, or adjustments to the device that would change the configuration, or transmission change to Direct Submit, the testing is required. The testing process is described below.

A. Scheduling

All testing is to be done between 9:00AM and 4:00PM Monday through Friday ONLY. No testing will be done without contacting the OSP Livescan coordinator prior to submitting a test card. While some testing may be allowed with short notice, it is best to schedule tests at least one week in advance.

After sending each of the tests required, the OSP Livescan coordinator must be allowed to examine the test data for completion. As this involves examination of the printed card, the Oregon CCH Database and WIN AFIS (for direct submit), this could take some time. All personnel involved should allow at least 30 minutes for each test card.

Once OSP staff have examined the printed card for accuracy, if the Livescan Device will be using Direct Submit, he/she will also examine the Oregon CCH Record and the WIN AFIS Record for accuracy. If all data is correct in each of these places he/she will sign off on that particular test and the vendor/agency will be allowed to proceed with the next test.

B. Criminal Cards

All of the data required to complete the following Criminal Fingerprint Card tests can be found in Appendix L. An example of each Criminal Fingerprint Card using this data can be found in Appendix M.

1. Basic Test

The basic test involves the data most often entered on to a normal fingerprint card. This includes all of the required fields and at least one of each optional field in the NIST/EFTS Type 2 Record. It also includes the 14 NIST/EFTS Type 4 Records that will contain the various fingerprint images. It does not include any of the other optional NIST/EFTS Records.

This test verifies that a basic paper fingerprint card is created correctly and, if direct submit, that a new CCH Record is created correctly in LEDS and a new AFIS Record is created at WIN.

2. Extra Charges

This test is very similar the Basic Test described above. The main difference being the lack of some of the optional information in the NIST/EFTS Type 2 Record, but with enough additional charges (field 2.936) such that an Extra Data card is created. This test requires the use of a card from the Blank Card Stock tray of the printer.

This test verifies that the extra data card is printed correctly. This includes the identifying information at the top of the card and extra charges in a columnar format on the card itself.

3. Extra Dispositions

This test is very similar to the Extra Charges test described above, with the addition of several added dispositions (field 2.938).

This test verifies that the vendor is able to print multiple types of extra data in a format that is acceptable to OSP-ISS. There is enough extra data to force a second column of information. OSP-ISS is looking to verify that all of the data appears correctly and that there is no data over run between the columns.

4. Extra Identifiers

This test is similar to the Basic Test described above. The main difference is the numerous extra identifiers. There are enough DOB's, SMT's and SOC's to require an extra data card.

This test verifies that the above mentioned fields are entered correctly in the NIST/EFTS Packet and that they print correctly on the extra card.

5. Long Name/Alias

This test is similar to the Basic Test described above. The main difference is the inclusion of a few extra aliases. Also, the name and one alias are of exceptional length.

This test verifies that the vendor is able to appropriately wrap a long name and alias on the main card. It also tests the vendor's capability of allowing the user to modify a name, thereby reducing the total length to 30 characters, or less, for fields 2.018 and 2.019 (which get entered into Oregon's CCH), while keeping the full name in field 2.908 for AFIS Archive and printing on the card.

This test also verifies the ability to print extra aliases on the extra data card.

6. Excessive Data

This test combines most of the elements from the above tests into one. There are extra charges, dispositions, aliases, DOB's, SMT's and SOC's.

This test will require the use of the front and back sides of an extra data card.

7. Palm Card

This is an optional test. If an agency does plan on sending Palm Prints with their criminal cards, a test of the Palm Card is necessary.

To test the Palm Card, create a basic test card as described in section VI.B.1 and add the Palm Prints to it.

C. Applicant Cards

All of the data required to complete the following Applicant Fingerprint Card tests can be found in Appendix N. An example of each Applicant Fingerprint Card using this data can be found in Appendix O.

1. Basic Test

The basic test involves the data most often entered on to a normal fingerprint card. This includes all of the required fields and at least one of each optional field in the NIST/EFTS Type 2 Record. It also includes the 14 NIST/EFTS Type 4 Records that will contain the various fingerprint images. It does not include any of the other optional NIST/EFTS Records.

This test verifies that a basic paper fingerprint card is created correctly and if direct submit, that a new CCH Record is created correctly in LEDS and a new AFIS Record is created at WIN when authorized to retain.

2. Extra Identifiers

This test is similar to the Basic Test described above. The main difference is the numerous extra identifiers. There are enough DOB's, SMT's, MNU's and SOC's to require an extra data card.

This test verifies that the above mentioned fields are entered correctly in the NIST/EFTS Packet and that they print correctly on the extra data card.

3. Long Name/Alias

This test is similar to the Basic Test described above. The main difference is the inclusion of a few extra aliases. Also, the name and one alias are of exceptional length.

This test verifies that the vendor is able to appropriately wrap a long name and alias on the main card. It also tests the vendor's capability of allowing the user to modify a name, thereby reducing the total length to 30 characters, or less, for fields 2.018 and 2.019 (which get entered into Oregon's CCH), while keeping the full name in field 2.908 for AFIS Archive and printing on the card.

This test also verifies the ability to print extra aliases on the extra data card.

VII. Validation

Each agency/vendor must go through a validation process before they can start collecting live fingerprint information and sending to OSP-ISS electronically. The OSP Livescan Coordinator at OSP-ISS will coordinate the validation process. Below is a list of the steps required for validation. A sign-off sheet is contained in Appendix J. Parts of the validation process must be performed each time an agency modifies/upgrades hardware or software on their Livescan and/or Jail Management Systems. These validations are noted below.

- Submit “Intent to Connect to OSP-ISS with a Livescan Device”. This is a written letter that shows realistic intent to purchase/install one or more Livescan Devices with the intent of transmitting electronic fingerprint cards to the State of Oregon. Either for Direct Submit and Printing or just for Printing. This verifies serious intent on the part of the agency and is the first significant step to getting a Livescan Device connected to the State of Oregon. As such it should be recorded.
- Verify that the vendor/agency has or has access to and is in compliance with these important documents:
 - This specification
 - WIN EFTS
 - FBI EFTS
 - NIST Manual
 - WIN NIST Device Implementation Guide
- Submit an Oregon Livescan Connection Request. This is the document contained in Appendix K. This document includes (but is not limited to) the following information:
 - Vendor information, including contact information, type of device, intended use, etc.
 - Agency information, including contact information, intended use of the Livescan, IP Address of the livescan, intended data transport mechanism, etc.
 - Estimated timelines for the major milestones, i.e. Installation of equipment, test connection to OSP-ISS, test data collection and transport capabilities, start of production usage, etc.
- Oregon Livescan Connection Request needs to be reviewed and verified by the OSP Livescan Coordinator.
- Notification of and Coordination with other agencies completed:
 - NLETS
 - NEC
 - WIN
 - FBI
- ORS, ORI and Reason for Fingerprinting sent to Agency/Vendor
- Verify that hardware meets FBI Certification.
- Verify that the Firewall to Firewall VPN can be established correctly
- Verify that the Livescan is appropriately isolated from public internet traffic
- Verify that the Livescan contains appropriate Virus Checking Software
- FPN’s have been issued, list the block that was issued
- Testing has been scheduled
- Test Criminal Cards (Some tests can be waived if not applicable)
 - Basic Test
 - Extra Charges
 - Extra Dispositions
 - Extra Identifiers
 - Long Name/Aliases
 - Excessive Data

- Palm Card
- Test Applicant Cards (Some tests can be waived if not applicable)
 - Basic Test
 - Extra Identifiers
 - Long Name/Aliases
- Test ability to update ORS, ORI, Dispo Code and Reason for Fingerprinting (if applicants) lookup tables
- Test ability to generate the TCN's/FPN's
- Final Approval
 - Determine type of approval (applicant and/or criminal)
 - Send formal letter of approval

VIII. Reference Documents and Materials

- 1) FBI-CJIS, *Electronic Fingerprint Transmission Specification*, IAFIS-DOC-01078-7.1, West Virginia, May 2005-EFTS 3.3
- 2) WIN, *Electronic Fingerprint Transmission Specification*, Sacramento, California, V3r4, August 2007
- 3) WIN, *WIN Agency NIST Input/Output Device Implementation Guide V2.0*, Sacramento, California, January 2006
- 4) OSP, *Oregon CCH Data Field Requirements*, Salem, Oregon, February 2006
- 5) ANSI, *Data Format for the Interchange of Fingerprint, Facial and Other Biometric Information*, ANSI/NIST-ITL 1-2007, April 2007
- 6) OSP, *Livescan Device Required Security Checklist*, Salem, Oregon, February 2007
- 7) OSP, *LEDS Manual*, Salem, Oregon, *Online2007*
- 8) FBI, *NCIC 2000 Code Manual*, Virginia, 2007
- 9) OSP, *Oregon ORI Table*, Salem, Oregon, Updated Quarterly
- 10) OSP, *Oregon Livescan ORS Table*, Salem, Oregon, Updated Quarterly
- 11) FBI, *IAFIS Wavelet Scalar Quantization Grayscale Fingerprint Image Compression Specification (IAFIS-IC-0010(V3))*, Virginia, December 1997
- 12) ISO/IEC, *Joint Photographic Experts Group Algorithm (IS 10918-1)*, JPEG Committee

IX. Glossary of Terms, Names and Acronyms

ACMS Device	Fingerprint Data Conversion Device (DBI to NIST)
AFIS	Automated Fingerprint Identification System
ANSI	American National Standards Institute
CCH	Computerized Criminal History
CJIS	Criminal Justice Information System (FBI & Oregon)
Cogent	Cogent Systems, Inc., Livescan Vendor
DBI	Digital Biometrics, Inc. (Livescan Vendor Purchased by Identix)
EFTS	Electronic Fingerprint Transmission Specification

FBI	Federal Bureau Of Investigation
FOCUS	Fingerprint/Oregon CCH Update System
Identix	Identix Incorporated, Livescan Vendor
ISS	Identification Services Section
JMS	Jail Management System
JPEG	Joint Photographic Experts Group Algorithm for Image Compression and Quality (ISO/IEC IS 10918-1)
LEDS	Law Enforcement Data System (Oregon)
NCIC	National Crime Information Center
NFF	National Fingerprint File
NIST	National Institute of Standards and Technology
ORI	Originating Agency Identifier
OSP	Oregon State Police
SSL	Secure Sockets Layer
Store and Forward	Data Collection and Storage Until Forwarding on
WIN	Western Identification Network, Inc.
WSQ	Wavelet Scalar Quantization (FBI fingerprint compression specification)