



FBI National Data Exchange (N-DEx) Program

General User's Guide

Version 5.0

09/30/14



CJIS Document Number – N-DEx-DOC-09209.5.0

Prepared by:
Criminal Justice Information Services (CJIS) Division
Law Enforcement Support Section (LESS)
N-DEx Program Office

SIGNATURE PAGE

Signatures/Approvals		
_____ Linda K. Rutherford/s/ Training Specialist/Editor N-DEx Program Office		_____ Date
_____ Sherri K. Shreves/s Supervisory N-DEx Liaison Specialist Program Analysis, Communications, and Administration Team N-DEx Program Office		_____ Date

CHANGE DESCRIPTION FORM

Revision	Change Description	Created/Changed by	Date	Approved By
1.0	Final	Todd Rhoades	9/21/11	Doug Infiesto
1.1	Revised Final	Todd Rhoades	12/23/11	Doug Infiesto
1.2	Updated Revised Final	Linda Rutherford	5/25/12	Scott Ballock
2.0	Updated Revised Final	Misty Rice	6/3/12	Scott Ballock
3.0	Updated Revised Final	Linda Rutherford	3/8/13	Scott Ballock
3.1	Changes to Section 4 Search Feature Changes to Section 8 Help	Sean Sullivan Janine T. Arnold Linda Rutherford	7/31/13	Scott Ballock
4.0	Addition of Section 5 Batch Query Changes to Section 6.2 Geo Visualization	Janine T. Arnold Linda Rutherford	1/6/14	Melissa J. Overcash
4.1	Addition of INTERPOL as a Leveraged Data Source in Section 4; Addition of CSO Administrator role(s) in Section 10	Bridget A. Harbert Linda Rutherford	7/31/14	Sherri K. Shreves
5.0	Addition of Suggested Searches; Topics Tab; Probabilistic Name Matching (PNM); and Entity Extraction information/enhancements; updated LEEP Log In/N-DEX account information; updated Source Data Administrator Responsibilities.	Bridget A. Harbert Linda Rutherford	9/19/14	Sherri K. Shreves

TABLE OF CONTENTS

1	Introduction	1
1.1	The Purpose of this <i>General User's Guide</i>	1
1.2	N-DEx Overview.....	2
1.3	N-DEx Data Protection	3
2	User Access	4
2.1	Becoming a Member of N-DEx	4
2.2	Accessing N-DEx through an Agency System	4
2.3	Accessing N-DEx through the LEEP Portal	4
2.3.1	N-DEx System Account Proess	4
2.3.2	Logging into N-DEx via LEEP.....	6
2.3.3	Accessing N-DEx.....	8
2.3.4	N-DEx Toolbar	10
2.4	How to Set Preferences	10
2.4.1	Preferences Tab—My Profile Sub-Tab	11
2.4.2	Preferences Tab—General Sub-Tab	11
2.4.2.1	Changing Default Log In View	11
2.4.2.2	Set Up Subscription/Notification Preferences	12
2.4.3	Preferences Tab—Search Filters Sub-Tab.....	13
2.4.4	Preferences Tab—Search Filters (cont...) Sub-Tab	14
2.5	Sign Out/Logging Off	15
3	Training	17
4	Search Feature	19
4.1	Overview	19
4.2	Search Screen Tabs	20
4.2.1	Filters Tab—Search Reason Area.....	20
4.2.2	Filters Tab—N-DEx Filters	21
4.2.3	Filters Tab—Geographic Location Filter.....	22
4.2.3.1	Geographic Location Filter: Enter City/State.....	23
4.2.3.2	Geographic Location Filter: Enter Latitude/Longitude	24
4.2.3.3	Geographic Location Filter: Show Map	25
4.2.4	Filters Tab—Date Filter.....	28
4.2.5	Filters Tab—Data Sources Filters.....	28
4.2.6	Filters Tab—Result Filters.....	30
4.2.7	Filter by ORI Number	30
4.2.8	Filter by Target	31
4.2.9	Filter by Report Types	33
4.2.10	Filters Tab—External Data Sources	34
4.2.10.1	External Data Source—DHS	35
4.2.10.2	External Data Source—USNCB INTERPOL Wash	36
4.3	Search.....	36

4.4	Performing a Simple Search.....	37
4.4.1	Name Syntax Simple Search.....	37
4.4.2	Targeted Simple Search	39
4.5	Performing an Advanced Search.....	39
4.6	Searching Using Acronyms.....	41
4.7	Performing a Targeted Search.....	41
4.8	Targeted Search for People	42
4.8.1	Probabilistic Name Matching (PNM)—Search for Similar Names.....	46
4.8.2	Targeted People Search—DHS Leveraged Data Source	48
4.8.3	Targeted People Search—USNCB INTERPOL	49
4.9	Targeted Search for Vehicles	52
4.9.1	Targeted Vehicle Search—USNCB INTERPOL	53
4.10	Targeted Telephone Number Search	54
4.11	Targeted Locations Search.....	55
4.12	Targeted Crime Characteristics Search.....	56
4.13	“More” Targeted Searches	57
4.14	How to Perform Multiple Targeted Searches	58
4.15	Show Advanced Targeted Search Options	59
4.16	View and Manage Search Results.....	59
4.16.1	After Executing a Search	60
4.16.2	Search Suggestions	62
4.16.3	Detailed Record View.....	64
4.16.4	Controlled Records	66
4.16.5	DHS Record Results	67
4.16.6	USNCB INTERPOL Record Results.....	68
4.16.7	Printing Records.....	69
4.16.8	Record Protection and Use.....	70
4.16.9	Manage Known Person Search Results	71
4.17	Search Screen Tabs—Topics Tab	72
4.18	Search Screen Tabs— Saved Searches Tab.....	73
4.19	Search Screen Tabs—History Tab.....	75
5	Batch Query	77
5.1	Overview	77
5.2	Creating a Batch Query	77
5.2.1	Using an N-DEx System Template.....	78
5.2.2	Creating a Custom Template	81
5.2.2.1	Create a CSV Template	83
5.2.2.2	Create a Fixed-Width Template	85
5.2.2.3	Edit or Delete an Existing Custom Template	88
5.3	Validate an Input File Sample	89
5.4	Save a Batch Query	90
5.5	Edit a Saved Batch Query	91
5.5.1	Edit a Batch Query Name and/or Additional Filters.....	92
5.5.2	Set a Recurring Batch Query	92
5.5.3	Share a Batch Query	93

5.5.4	Delete a Batch Query	95
5.6	Initiate a Batch Query	95
5.7	Batch Queries Screen Information	95
5.7.1	Query ID, Query Name, Created Date, Last Run Time, and Owner	96
5.7.2	Batch Query Status	96
5.7.3	Percentage Complete	97
5.7.4	Action, Delete/Unsubscribe, and Edit Icons	97
5.7.5	Batch Query(ies) List Navigation & Filter Tools	97
5.8	Batch Query Results.....	98
5.8.1	Browse Individual List Items.....	99
5.8.2	Perform a Search Using a List Item.....	100
5.8.3	Sort Query List Items and Search Result Counts.....	101
5.8.4	Filter Search Result(s).....	102
5.8.5	Export Search Result Counts and/or Save in Collaboration	102
5.8.5.1	Export Batch Query Results to a CSV File	102
5.8.5.2	Export Batch Query Results to a PDF File.....	103
5.8.5.3	Save to Collaboration as a CSV File or a PDF File	105
6	Visualization Features (Link Visualization and Geo Visualization)	106
6.1	Link Visualize Search Results.....	106
6.1.1	Using the Visualization Toolbar	108
6.1.2	Layout Options.....	110
6.1.3	Using Filters.....	112
6.2	Geo Visualize Search Results	113
6.3	Mini Maps	114
6.4	Results Badges	116
6.5	Using the Geo Visualization Toolbar.....	118
6.5.1	Geo Visualization Maps.....	118
6.5.2	Geo Visualization Tools	119
6.5.2.1	Export Map.....	120
6.5.2.2	Open Detailed Document View.....	121
6.5.2.3	Find An Address.....	122
6.5.3	View Controls	124
6.6	Using Map Display Tabs.....	125
6.6.1	Map Display—Search Results Tab.....	126
6.6.2	Map Display—Filters Tab	127
6.6.3	Map Display—Legend Tab.....	128
6.6.4	Map Display—Points of Interest Tab	129
6.6.5	Map Display—Custom Layers	130
6.7	Pinning Locations.....	133
7	Subscription/Notification	136
7.1	Subscription/Notification Overview	136
7.1.1	Subscribe to a Search Query—Search and/or Record Match	137
7.1.2	Subscribe to a Selected Record—Record Update.....	138

7.1.3	Subscribe to a Targeted Person Search—Known Person Entity Match	139
7.1.4	Subscribe to a Person Entity Viewed.....	140
7.2	Managing Subscriptions.....	141
7.2.1	My Subscriptions—View Search Criteria	142
7.2.2	My Subscriptions—Edit a Subscription.....	142
7.2.3	My Subscriptions—Delete a Subscription.....	145
7.3	Managing Notifications.....	146
7.3.1	Notification—Detailed Reports	148
7.3.2	Filter Notifications	149
7.3.3	Delete Notifications	150
7.4	Automated Processing Subscription and Notification	151
8	Collaboration.....	153
8.1	Collaboration My Dashboard	153
8.2	Create a New Collaboration Site.....	154
8.2.1	Wiki Page (Create Site Introduction).....	157
8.2.2	Add the Introduction to the Site Dashboard	158
8.2.3	Edit, Rename, or Delete a Wiki Page	159
8.2.4	Upload Documents to the Site	161
8.2.5	Revise Uploaded Documents.....	162
8.2.6	Schedule Site Events.....	165
8.3	Site Membership	167
8.3.1	Invite Members	167
8.3.2	Manage Members.....	169
8.4	Establish Links, Blogs, and Discussions.....	170
8.4.1	Establish Site Links.....	170
8.4.2	Establish Site Blogs	171
8.4.3	Establish Site Discussions	172
8.5	View Activities Within Your Site	173
9	Help	175
10	Administrative Roles	176
10.1	CSO Administrator	176
10.1.1	Find Users	177
10.1.2	Assign Agency Management Roles	179
10.1.3	Edit Agency Management Roles	182
10.1.4	Disable or Re-Enable N-DEx System Access	182
10.1.5	Enable or Disable a User's N-DEx User Roles	183
10.1.6	Disable or Re-enable a User's N-DEx Leveraged Data Sources.....	183
10.2	Delegated CSO Administrator	184
10.3	User Administrator.....	185
10.3.1	User Admin Modify N-DEx System Access	185
10.3.2	User Admin Modify N-DEx System Roles	185
10.3.3	User Admin—Delegate UA Role	185
10.4	Audit Administrator	186
10.4.1	Audit Admin Manage Audit Reports.....	188
10.4.1.1	Agency Member Report	191
10.4.1.2	Detailed Search Report.....	196

10.4.1.3	Search Criteria Report	198
10.4.1.4	State/ORI Summary Report.....	201
10.4.1.5	User Activity Report.....	204
10.4.1.5.1	User Activity Report By User.....	205
10.4.1.5.2	User Activity Report By Identity Provider	207
10.4.1.5.3	User Activity Report by Agency	210
10.4.1.6	Cross Agency Record Report	213
10.4.1.7	Unique Record Report	216
10.4.1.8	User Viewed Record Report.....	218
10.4.2	Audit Admin—Delegate AA Role.....	221
10.5	Training Administrator	222
10.5.1	Training Admin—Assign and Manage N-DEx Training Courses.....	222
10.5.1.1	Assign Training Courses (Internal to N-DEx).....	223
10.5.1.2	Assign Training Courses (External to N-DEx).....	229
10.5.1.3	Edit Assigned Training Courses	232
10.5.2	Training Admin—Generate Training Reports	233
10.5.3	Delegate Training Administrator	236
10.6	Source Data Administrator Responsibilities	236
10.6.1	Data Management Tab	237
10.6.2	Data Access.....	237
10.6.3	Sharing Policy Sub-Tab	238
10.6.4	Sharing Rules	239
10.6.5	N-DEx Dissemination Criteria Tag Rules	239
10.6.6	Agency-Based Sharing Rules	240
10.6.7	Set Sharing Level(s) for Selected Agency(ies).....	240
10.6.8	Set Sharing Level(s) for Multiple Agency Types	241
10.6.9	Set Sharing Level(s) for All Agencies within Owning Agency’s State.....	241
10.6.10	Customized Agency-Based Sharing.....	242
10.6.11	Rule-Based Sharing.....	243
10.6.12	Create New Sharing Rule Using N-DEx Pre-defined Rule Conditions	245
10.6.13	Create New Sharing Rule Using Customize Rule.....	246
10.6.14	Sharing Rule—Exception Groups.....	249
10.6.15	Sharing Rule—Exception Groups Customized by State/Territory	252
10.6.16	Rule-Based Sharing—Preview and Save	253
10.6.17	Manage Rule-Based Sharing.....	254
10.6.18	Edit (modify) Rule-Based Sharing Rules.....	255
10.6.19	Show Groups	255
10.6.20	Re-Evaluation Process.....	255
10.6.21	Document Sharing Status	256
10.6.22	Record Retrieval.....	256
10.6.23	Overwriting the Sharing Level for the Entire Record	259

10.6.24	Overwriting the Sharing Level for an Existing Exception Group.....	259
10.6.25	Overwriting the Sharing Level for a New Exception Group	261
10.6.26	Removing an Overwritten the Sharing Policy.....	262
10.6.27	Delegated Data Administration.....	263
10.6.28	Delegate Data Administration.....	263
10.6.29	Return Delegated Data Administration	264
10.6.30	Submitting Data to N-DEx.....	265
10.6.31	Retrieve, View, and Delete an Automated Record	265
10.6.32	Retrieve an Automated Record by Date/Time	265
10.6.33	Retrieve an Automated Record by Record ID	266
10.6.34	Retrieval Results	267
10.6.35	View a Record.....	267
10.6.36	Delete a Record	268
10.6.37	Submit a Record Using Manual Entry	270
10.6.38	Create a New Record.....	270
10.6.39	Retrieve, View, Modify or Delete a Manual Record	272
10.6.39.1	Retrieve a Draft or Partial Manual Record.....	273
10.6.39.2	Modify a Draft or Partial Manual Record	273
10.6.39.3	Delete a Draft or Partial Manual Record.....	274
10.6.39.4	Retrieve a Previously Submitted or Saved Manual Record by Date.....	275
10.6.39.5	Retrieve Previously Submitted or Saved Manual Record by Record ID	275
10.6.40	Source Data Administration Reports.....	276
10.6.41	Submission Summary Report.....	276
10.6.42	Generate Reconciliation Report	278
10.6.43	Automated Processing Administrator Responsibilities.....	281
10.6.44	Create and Edit a View Records Notification	282
10.6.45	Create and Edit an Entity Match Notification	284
10.7	NIBRS Administrator Responsibilities.....	286
10.7.1	NIBRS Data Retrieval and Display	287
10.7.2	NIBRS ORI Process Control	290
10.8	Automated Processing Administrator Responsibilities	291
10.8.1	Automated Processing Reports.....	291
	Appendix A: Acronyms	A-1

LIST OF FIGURES

Figure 2-1 LEEP Services—Request N-DEx Access.....	5
Figure 2-2 N-DEx Special Interest Groups (SIGs)—Request N-DEx Account	5
Figure 2-3 LEEP Sign In Screen.....	6
Figure 2-4 LEEP Challenge Question Screen.....	7
Figure 2-5 LEEP Security Sign In Screen	7
Figure 2-6 LEEP Home Page and Services List	8
Figure 2-7 N-DEx Terms of Usage Acknowledgement	9
Figure 2-8 Simple Search Screen.....	9

Figure 2-9 N-DEx Toolbar.....	10
Figure 2-10 Preferences Tab.....	11
Figure 2-11 Preferences Tab—My Profile Sub-Tab.....	11
Figure 2-12 Preferences Tab—General Sub-Tab—Start Screen.....	12
Figure 2-13 Preferences Tab—General Sub-Tab—Subscription Email.....	13
Figure 2-14 Preferences Tab—Search Filters Sub-Tab.....	14
Figure 2-15 Preferences Tab—Search Filters (cont...) Sub-Tab.....	15
Figure 2-16 N-DEx System Sign Out Link.....	15
Figure 2-17 Sign Out Confirmation.....	15
Figure 2-18 N-DEx Sign Out Screen.....	16
Figure 3-1 N-DEx Toolbar—Training Link.....	17
Figure 3-2 N-DEx Training Page.....	17
Figure 3-3 Order a Training Disc Window.....	18
Figure 4-1 N-DEx Search.....	19
Figure 4-2 Filters-Search Purpose.....	20
Figure 4-3 Filters—Search Reason.....	21
Figure 4-4 Filters—Search Reason Reminder.....	21
Figure 4-5 Search Filters.....	22
Figure 4-6 Geographic Location Filter.....	23
Figure 4-7 Geographic Location Filter—City/State.....	24
Figure 4-8 Geographic Location Filter—Lat/Long.....	24
Figure 4-9 Geographic Location Filter—Show Map.....	25
Figure 4-10 Geo Visualization Search Option—Draw Polygon.....	26
Figure 4-11 Geo Visualization Search Option—Draw Point and Radius.....	26
Figure 4-12 Geo Visualization Search Option—Radius Display.....	27
Figure 4-13 Date Filter.....	28
Figure 4-14 Data Sources Filter.....	29
Figure 4-15 Result Filters.....	30
Figure 4-16 Results Filter by ORI.....	31
Figure 4-17 Select Targets—Vehicle.....	32
Figure 4-18 Results Filter by Target.....	33
Figure 4-19 Results Filter—Report Types.....	34
Figure 4-20 Leveraged Data Sources.....	35
Figure 4-21 Simple Search Screen.....	37
Figure 4-22 Name Syntax Simple Search.....	38
Figure 4-23 Name Syntax Simple Search Results.....	38
Figure 4-24 Targeted Simple Search—Results Filter Target.....	39
Figure 4-25 Advanced Search Option.....	40
Figure 4-26 Advanced Search Tips.....	40
Figure 4-27 Targeted Search.....	42
Figure 4-28 Targeted Person Search.....	43
Figure 4-29 Targeted Person Search—Identifying Documents Menu.....	44
Figure 4-30 Targeted Person Search—Person Roles.....	45
Figure 4-31 Targeted Person Search—Physical Characteristics.....	46
Figure 4-32 Search for Similar Names.....	47
Figure 4-33 Targeted Search Tips.....	48

Figure 4-34 DHS Results Not Currently Accessible	49
Figure 4-35 Leveraged Data Sources—USNCB INTERPOL Wash.....	50
Figure 4-36 Targeted Search Tips for USNCB INTERPOL	51
Figure 4-37 Targeted Person Search—Identifiers	52
Figure 4-38 USNCB INTERPOL Results Link.....	52
Figure 4-39 Targeted Vehicle Search	53
Figure 4-40 Targeted Telephone Number Search.....	54
Figure 4-41 Targeted Locations Search.....	55
Figure 4-42 Targeted Crime Characteristics Search.....	57
Figure 4-43 More Targeted Searches.....	58
Figure 4-44 More Targeted Search Cyber Crime	58
Figure 4-45 Search Results Screen	60
Figure 4-46 Record Results—Record Header, Record Summary, and View Narrative Link	61
Figure 4-47 Search Term Hit Count	62
Figure 4-48 Suggested Searches	63
Figure 4-49 Suggested Search Results.....	63
Figure 4-50 Detailed Record Screen—N-DEx Stylesheet.....	65
Figure 4-51 Detailed Record Screen—Federal Agency Customized Stylesheet.....	65
Figure 4-52 Choose a Stylesheet.....	66
Figure 4-53 View Original Record	66
Figure 4-54 Search Results Screen—Controlled Record.....	67
Figure 4-55 DHS Leveraged Data Source Search Results.....	67
Figure 4-56 USNCB INTERPOL Search Results Designation	68
Figure 4-57 USNCB INTERPOL Acknowledgement Screen.....	68
Figure 4-58 USNCB INTERPOL Record Stylesheet	69
Figure 4-59 N-DEx Advanced Permission and Verification Requirement Message	69
Figure 4-60 Print Screen	70
Figure 4-61 N-DEx Known Person Results.....	71
Figure 4-62 N-DEx Known Person Results—Person Details Screen.....	72
Figure 4-63 Topics Tab—Get Topics Button	72
Figure 4-64 Topic Filter List.....	73
Figure 4-65 Save Search Capability	74
Figure 4-66 Saved Searches Tab.....	74
Figure 4-67 View Saved Search Criteria	75
Figure 4-68 History Tab.....	76
Figure 5-1 Batch Query Tabs.....	77
Figure 5-2 Batch Queries Screen	77
Figure 5-3 Batch Query Templates Screen.....	78
Figure 5-4 View Template Icon.....	78
Figure 5-5 View Template Window	79
Figure 5-6 New Query Setup Button	79
Figure 5-7 Batch Query Setup	80
Figure 5-8 Batch Query Standard Templates Menu	80
Figure 5-9 Batch Query Completed Setup.....	81
Figure 5-10 Batch Query Setup Buttons.....	81
Figure 5-11 New Query Template Link.....	82

Figure 5-12 New Batch Query Template Screen.....	82
Figure 5-13 Comma-Separated-Values Format.....	83
Figure 5-14 Create a CSV Template.....	84
Figure 5-15 Saved Custom Template	84
Figure 5-16 Saved Custom CSV Template.....	85
Figure 5-17 Fixed-Width Format.....	86
Figure 5-18 Create a Fixed-Width Template	87
Figure 5-19 Saved Fixed-Width Template	88
Figure 5-20 Edit a Custom Template.....	88
Figure 5-21 Save Custom Template Edits	89
Figure 5-22 Validate Sample	90
Figure 5-23 Saved Batch Query—Status “Loaded”	91
Figure 5-24 Edit a Loaded Batch Query	91
Figure 5-25 Edit Batch Query Screen.....	92
Figure 5-26 Recurring Batch Query	93
Figure 5-27 Share Batch Query Results with Users	94
Figure 5-28 Batch Query Screen—Delete/Unsubscribe	94
Figure 5-29 Add a Batch Query to the Queue	95
Figure 5-30 Batch Query Page Navigation.....	97
Figure 5-31 Batch Query List Filters.....	98
Figure 5-32 View Batch Query Search Result Counts	98
Figure 5-33 Statistics for a Completed Batch Query	99
Figure 5-34 Search Result Counts	100
Figure 5-35 Perform a Search/View Full Criteria.....	101
Figure 5-36 Search Results for a List Item	101
Figure 5-37 Export Search Result Counts	102
Figure 5-38 Export Batch Query Results as a CSV File.....	103
Figure 5-39 Export Batch Query Results and Save as a CSV File	103
Figure 5-40 Export Batch Query Results as a PDF	104
Figure 5-41 Export Batch Query Results and Save as a PDF	104
Figure 5-42 Save Batch Query Results to Collaboration Site as CSV or PDF	105
Figure 6-1 Data Results—Link Visualization.....	107
Figure 6-2 Visualization—Association Chart Preview.....	108
Figure 6-3 Visualization—Association Chart Full View.....	108
Figure 6-4 Visualization—Toolbar.....	109
Figure 6-5 Visualization—Overview Icon.....	110
Figure 6-6 Visualization—Hierarchical Layout View.....	111
Figure 6-7 Visualization—Orthogonal Layout View	111
Figure 6-8 Visualization—Timeline View	112
Figure 6-9 Visualization—Entity Filter	112
Figure 6-10 Data Results—Geo Visualization	113
Figure 6-11 Geo Visualization for a Record.....	114
Figure 6-12 Geo Visualization through an IPEV.....	114
Figure 6-13 Select all Button	114
Figure 6-14 Mini Map Access	115
Figure 6-15 Mini Map Results.....	115

Figure 6-16 Geo Visualization—Map Display	116
Figure 6-17 Geo Visualization—Entity Cluster	116
Figure 6-18 Results Badge.....	117
Figure 6-19 Geo Visualization Person Tabs	117
Figure 6-20 Geo Visualization Toolbar	118
Figure 6-21 Geo Visualization Satellite Map View.....	118
Figure 6-22 Geo Visualization Street Map View	119
Figure 6-23 Visualization Show Boundaries/References Layer View	119
Figure 6-24 Geo Visualization Tools.....	120
Figure 6-25 Geo Visualization Tools Options.....	120
Figure 6-26 Selecting Multiple Records to Export to a Map.....	121
Figure 6-27 Error Message to Select Result	121
Figure 6-28 Open Detailed Document View in Geo Visualization	122
Figure 6-29 Multiple Geovisualized Documents.....	122
Figure 6-30 Find An Address Box.....	123
Figure 6-31 Did you mean: Address Box	123
Figure 6-32 Find An Address Icon	124
Figure 6-33 Zoom In/Out Bar	125
Figure 6-34 Open Full View Button	125
Figure 6-35 Map Display Tabs	126
Figure 6-36 Map Display All Tabs	126
Figure 6-37 Search Results	127
Figure 6-38 Update Map.....	127
Figure 6-39 Map Display—Filters Tab.....	128
Figure 6-40 Restore Filtered Information	128
Figure 6-41 Map Display Legend Tab.....	129
Figure 6-42 Map Display—Points of Interest Tab	129
Figure 6-43 Map Display—Description of Points of Interest.....	130
Figure 6-44 Custom Map Layers	130
Figure 6-45 Created Custom Map Layers.....	131
Figure 6-46 Load URL Button.....	131
Figure 6-47 Custom Layers Options.....	131
Figure 6-48 Multiple Custom Layers.....	132
Figure 6-49 Custom Layers Legend	132
Figure 6-50 Clear Custom Layers.....	133
Figure 6-51 Pinning a Location	133
Figure 6-52 Pin-To-Map Box	134
Figure 6-53 Pinned Locations.....	134
Figure 6-54 Geo Visualization—Switch to LinkVis Hyperlink	135
Figure 7-1 Data Results—Subscribe to Search Query and/or Record Match.....	137
Figure 7-2 Create Subscription Window—Search Query/Record Match.....	138
Figure 7-3 Record Detail—Subscribe to Record Update	138
Figure 7-4 Create Subscription Window—Subscribe to Record Update	139
Figure 7-5 Known Person Result—Subscribe to Person Entity Match	139
Figure 7-6 Create Subscription Window—Subscribe to Person Entity Match.....	140
Figure 7-7 Person Entity Detailed Record—Person Entity Viewed.....	140

Figure 7-8 Create Subscription Window—Person Entity Viewed	141
Figure 7-9 My Subscriptions Screen.....	142
Figure 7-10 My Subscriptions—Search Criteria Window.....	142
Figure 7-11 My Subscriptions Screen—Edit a Subscription.....	143
Figure 7-12 My Subscriptions—Changing Status	143
Figure 7-13 My Subscriptions—Changing Start Date.....	144
Figure 7-14 My Subscriptions—Notify Frequency	144
Figure 7-15 My Subscriptions—Select Recipients.....	145
Figure 7-16 My Subscriptions—Delete Subscription.....	146
Figure 7-17 Notification Tab	146
Figure 7-18 Subscription/Notification—Using Notification	147
Figure 7-19 Notification—Navigate Pages.....	148
Figure 7-20 Notification—Detail Report.....	149
Figure 7-21 Notification—Filter List by Date	150
Figure 7-22 Notification—Filter List by Type	150
Figure 7-23 Notification—Delete a Notification.....	151
Figure 7-24 AP User—Assigned Rules	152
Figure 8-1 Collaboration Tab.....	153
Figure 8-2 Collaboration—My Dashboard Screen	154
Figure 8-3 Collaboration—My Sites—Create New Site	155
Figure 8-4 Collaboration—Create Site Dialog Window	155
Figure 8-5 Collaboration—My Sites Area.....	156
Figure 8-6 Site Dashboard	157
Figure 8-7 Collaboration—Wiki Main Page.....	157
Figure 8-8 Collaboration—Create Wiki Page.....	158
Figure 8-9 Collaboration—Site Dashboard Screen	158
Figure 8-10 Site Dashboard—Wiki Configure Screen	159
Figure 8-11 Select Wiki Page Dialog Window.....	159
Figure 8-12 Collaboration—Updated Wiki Area Screen.....	159
Figure 8-13 Collaboration—Edit, Delete, and Rename Wiki Screen.....	160
Figure 8-14 Collaboration—Delete Wiki Screen	160
Figure 8-15 Collaboration—Rename Wiki Screen.....	161
Figure 8-16 Document Library Screen—Upload File	161
Figure 8-17 File Upload Screen.....	161
Figure 8-18 Document Library Screen	162
Figure 8-19 Document Library—Select A Document.....	162
Figure 8-20 Update Document—Edit Offline	163
Figure 8-21 Open Document File for Editing.....	163
Figure 8-22 I'm Editing Document—Upload New Version.....	163
Figure 8-23 Update File Dialog Window—Upload Modified File	164
Figure 8-24 Collaboration Site—Document Library All Documents.....	164
Figure 8-25 Update Document—Other Document Actions	165
Figure 8-26 Calendar—Initial Screen	166
Figure 8-27 Calendar—Add Event Screen	166
Figure 8-28 Calendar—Event Posted Screen	167
Figure 8-29 Calendar—Site Dashboard Screen.....	167

Figure 8-30 Collaboration Site—Invite Members	167
Figure 8-31 Members Invitation Screen—Search for People	168
Figure 8-32 Invite Site Members—Select User Role	168
Figure 8-33 My Dashboard—My Tasks—Site Membership Invitation	169
Figure 8-34 Members—Search for Site Members Screen	169
Figure 8-35 Members—Change Roles or Remove Members Screen	170
Figure 8-36 Links—Initial Create Link Screen	171
Figure 8-37 Links—Links List Screen	171
Figure 8-38 Blog—Initial Create Blog Post Screen	172
Figure 8-39 Discussions—Initial Create New Topic Screen	173
Figure 8-40 Discussions—New Topic Screen	173
Figure 8-41 Collaboration—Site Dashboard Activities	174
Figure 8-42 Collaboration—Recently Modified Documents	174
Figure 8-43 Collaboration—Site Activities	174
Figure 9-1 Search Results—Search ID Number	175
Figure 10-1 Management Tab—CSO Administrator	177
Figure 10-2 User Management—Find Users	177
Figure 10-3 Find Users Results	178
Figure 10-4 User Profile Window	179
Figure 10-5 User Profile Window—Multiple User Profiles Displayed	179
Figure 10-6 Edit User Role Window	180
Figure 10-7 User Profile Screen with Administrative Role ORI(s)	181
Figure 10-8 Edit Confirmation	181
Figure 10-9 Cancel Confirmation	181
Figure 10-10 Edit User Role	182
Figure 10-11 N-DEX System Access	183
Figure 10-12 Enable or Disable User Roles or Leveraged Data Source Access	184
Figure 10-13 Management Tab—Audit Administrator	186
Figure 10-14 Audit Management Screen	186
Figure 10-15 My Auditable Agencies Roles	187
Figure 10-16 Auditable Agencies Filter Icon	187
Figure 10-17 My Auditable Agencies Filters	188
Figure 10-18 Condition Filter Menu	188
Figure 10-19 Report Menu Options	189
Figure 10-20 Report Help Icon—Report Description	190
Figure 10-21 Report Help Icon—Audit Report Description Tab	190
Figure 10-22 Report Help Icon—Audit Report Example Tab	191
Figure 10-23 Report Name and File Type	192
Figure 10-24 Select Agency Window	192
Figure 10-25 Select Agency(ies)	193
Figure 10-26 Submit Report	194
Figure 10-27 Open/View Report or Save File	195
Figure 10-28 View Agency Member Report	195
Figure 10-29 Report Tools	196
Figure 10-30 Detailed Search Report Generation	197
Figure 10-31 Detailed Search Report	198

Figure 10-32 Search Criteria Report Generation	199
Figure 10-33 Retrieve Audit Report	200
Figure 10-34 Search Criteria Report.....	201
Figure 10-35 State/ORI Search Summary Report By Identity Provider.....	202
Figure 10-36 State/ORI Summary Report Status.....	203
Figure 10-37 State/ORI Summary Report	204
Figure 10-38 User Activity Report By User	205
Figure 10-39 User Activities.....	206
Figure 10-40 User Activity Report By User	207
Figure 10-41 UAR By Identity Provider Menu	208
Figure 10-42 Submitted User Activity Report By Identity Provider	209
Figure 10-43 User Activity Report By Identity Provider	210
Figure 10-44 User Activity Report By Agency (ORI) Select Agency	211
Figure 10-45 Submitted User Activity Report By Agency (ORI)	212
Figure 10-46 User Activity Report By Agency (ORI).....	213
Figure 10-47 Cross Agency Record Report Generation	214
Figure 10-48 Cross Agency Record Report Completed Status—Download Report.....	215
Figure 10-49 Cross Agency Record Report.....	216
Figure 10-50 Unique Record Report Generation.....	217
Figure 10-51 Unique Record Report.....	218
Figure 10-52 User Viewed Record Report Generation.....	219
Figure 10-53 User Viewed Record Report	221
Figure 10-54 Total Search Report Generation Screen.....	222
Figure 10-55 Management Tab—Training Management	222
Figure 10-56 Reports and Training Assignments Tabs	223
Figure 10-57 Training Assignments	223
Figure 10-58 Training Assignments—Find and Select User.....	224
Figure 10-59 Course Type and Course Status	225
Figure 10-60 Assigned Training	226
Figure 10-61 Edit User Courses Window	227
Figure 10-62 Assign Course Expiration Date.....	228
Figure 10-63 Currently Assigned Training Courses	229
Figure 10-64 Course Notification	229
Figure 10-65 Assign Agency Administered Training Course	231
Figure 10-66 Training Report Screen	233
Figure 10-67 Training Report—Find and Select User.....	234
Figure 10-68 Training Report—Course Status	235
Figure 10-69 Training Report	235
Figure 10-70 Export Training Report	236
Figure 10-71 N-DEx Toolbar—Data Management Tab.....	237
Figure 10-72 N-DEx Data Sharing—Rule-Based Sharing (Default) Screen.....	238
Figure 10-73 Assign Sharing Rules to Selected Data Owner or All Data Owners Buttons	239
Figure 10-74 Agency-Based Sharing Screen.....	240
Figure 10-75 Set Sharing Rules for Selected Agency(ies)	241
Figure 10-76 Customize Agency(ies) Sharing Rule—Jurisdiction Window.....	242
Figure 10-77 Apply Customized Sharing Rules	242

Figure 10-78 Customized Agency Sharing Rule	243
Figure 10-79 Rule-Based Sharing Screen.....	244
Figure 10-80 Rule-Based Sharing Table.....	244
Figure 10-81 Rule-Based Sharing Screen—New Rule Button.....	245
Figure 10-82 Pre-Defined Rules Menu Selection.....	245
Figure 10-83 Pre-Defined Rule Screen.....	246
Figure 10-84 Establishing a Customized Sharing Rule	247
Figure 10-85 Rule Wizard Screen.....	247
Figure 10-86 Rule Conditions Screen.....	248
Figure 10-87 Rule Condition Details Screen.....	248
Figure 10-88 Sharing Level for Groups Link—Sharing Levels	249
Figure 10-89 Sharing Level for Groups—Add an Exception Group.....	250
Figure 10-90 Sharing Level for Groups—Exception Group	250
Figure 10-91 Sharing Level for Groups—Create New Group.....	251
Figure 10-92 Create Exception Group Screen.....	252
Figure 10-93 Sharing Level for Groups—Remove Button.....	252
Figure 10-94 Sharing Level for Groups—Customize Button.....	253
Figure 10-95 Exception Group—Jurisdiction Window for State and Territory	253
Figure 10-96 Preview and Save Screen	254
Figure 10-97 Rule-Based Sharing Screen Buttons	254
Figure 10-98 Rule-Based Sharing—Show/Hide Groups Window	255
Figure 10-99 Schedule Re-Evaluation Screen	256
Figure 10-100 Document Sharing Sub-Tab.....	257
Figure 10-101 Document Specific Restrictions—Retrieve Records by Date.....	257
Figure 10-102 Document Specific Restrictions—Retrieve Records by ID.....	257
Figure 10-103 Document Sharing Status Retrieval Results	258
Figure 10-104 Document Sharing Status Sharing Level Editor	258
Figure 10-105 Overwrite Sharing Level for Entire Record.....	259
Figure 10-106 Overwrite Sharing Level for Exception Groups	260
Figure 10-107 Overwrite Sharing Level for Exception Groups—Existing Group Menu	260
Figure 10-108 Overwrite Sharing Level for Exception Groups—Exception Groups Box.....	261
Figure 10-109 Document Specific Restrictions Screen—Document’s Current Sharing Level..	261
Figure 10-110 Document Sharing Status—Remove Overwritten Sharing Policy.....	262
Figure 10-111 Sharing Rule Overwrite Screen.....	263
Figure 10-112 Delegated Data Administration Screen.....	264
Figure 10-113 N-DEx Sharing Policy—Return Sharing Policy Privileges.....	264
Figure 10-114 No Right to Create Sharing Rules Notice	265
Figure 10-115 Data Administration Menu Screen.....	266
Figure 10-116 Retrieve by Date—Calendar	266
Figure 10-117 Retrieve by Record ID	267
Figure 10-118 Data Retrieval Result Screen	267
Figure 10-119 Data Administration Menu Record Details Screen.....	268
Figure 10-120 Data Retrieval Results—Delete Records Confirmation.....	268
Figure 10-121 Record Deletion Confirmation.....	269
Figure 10-122 No Records Found Message.....	269
Figure 10-123 Manual Record Menu Screen—Create New Record	270

Figure 10-124 Incident Report Screen.....	271
Figure 10-125 Officer/Agency Details—Data Entry Screen.....	272
Figure 10-126 Manual Record Menu Screen—Retrieval Options	273
Figure 10-127 Manual Record Menu—Retrieve Draft Record Screen	273
Figure 10-128 Manual Record—Draft Record(s) for Agency: Page.....	274
Figure 10-129 Manual Record—Delete Records Dialog Window	274
Figure 10-130 Retrieve Previously Submitted Manual Record by Date	275
Figure 10-131 Submitted Record(s) for Agency Results Page.....	275
Figure 10-132 Retrieve Previously Submitted Manual Record by Record ID	276
Figure 10-133 Submission Summary Report Results Screen	277
Figure 10-134 Submission Summary Report—Failure/Warning Information Screen	278
Figure 10-135 Generate Reconciliation Report Button Screen	279
Figure 10-136 Reconciliation Report Screen—Export Report.....	279
Figure 10-137 Reconciliation Report—Confirm to Export Records Screen	280
Figure 10-138 Reconciliation Report—Saving the Report Screen.....	280
Figure 10-139 Reconciliation Report Screen—Save to Collaboration.....	281
Figure 10-140 Reconciliation Report—Save to Collaboration Site Screen.....	281
Figure 10-141 Viewed Records Notification Screen	282
Figure 10-142 Admin—Select POCs Screen.....	283
Figure 10-143 AP Admin—Assigned Rules Screen.....	284
Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen	284
Figure 10-145 NIBRS Data Monitor Screen	286
Figure 10-146 NIBRS Process Control Screen.....	287
Figure 10-147 NIBRS Data Monitor—Retrieve Records by Date	288
Figure 10-148 NIBRS Data Monitor—Retrieve Records by ID	288
Figure 10-149 NIBRS Data Monitor—Record Results Screen	289
Figure 10-150 NIBRS Data Monitor—Processing Status Screen	289
Figure 10-151 NIBRS Process Control—Submitting Agency and Individual Agency Level....	290
Figure 10-152 NIBRS Process Control—Individual Agency Level—Edit Toolbar Screen	291
Figure 10-153 AP User—Assigned Rules	292
Figure 10-154 AP Administrator—Assigned Rules—Report Screen	292
Figure 10-155 AP Administrator—Enter Report Criteria Screen.....	293
Figure 10-156 AP Administrator—Generated Reports Screen	293

LIST OF TABLES

Table 4-1 Geo Visualization Search Option— Map Display Toolbar Functions.....	27
Table 6-1 Link Visualization Toolbar Functions.....	109
Table 6-2 Geo Visualization Toolbar Functions.....	124

1 INTRODUCTION

The National Data Exchange (N-DEx) Program is a national asset that provides Criminal Justice Agencies (CJAs) with a powerful investigative tool for sharing criminal justice information. This national information sharing system provides the capability for sharing incident and case reports; arrest, incarceration, and booking data; and probation and parole data. It is the newest dimension added to the Federal Bureau of Investigation's (FBI) Criminal Justice Information Services (CJIS) Division's System of Services and is recognized as one of the keystones for the Department of Justice's (DOJ's) transformation strategy expressed through the Law Enforcement Information Sharing Program (LEISP). N-DEx became operational in March 2008.

The purpose of N-DEx is to provide CJAs with the capability to search, link, analyze and share criminal justice information. N-DEx benefits local, state, tribal, regional, and federal CJAs by providing investigative, tactical, and strategic applications in support of their role as the first line of defense against crime and terrorism. N-DEx provides the capability for participating agencies to detect relationships between people, places, property and crime characteristics, and to link information across jurisdictions. Agencies are able to connect the dots between data points that are not apparently related without reaching information overload. In addition, N-DEx facilitates a network of collaboration in the criminal justice community by providing contact information and collaboration tools for CJAs working on cases of mutual interest.

N-DEx receives data from local, state, tribal, regional, and federal agencies. Management of this shared data within N-DEx remains with the agency that owns the data. N-DEx provides controls to allow agencies to decide what data to share, who can access it, and under what circumstances. In essence, participating agencies push data to N-DEx for sharing with other CJAs. Agencies are able to participate in accordance with applicable local, state, and federal laws and policies governing dissemination and privacy.

N-DEx may be utilized to conduct criminal justice employment background checks or to screen employees of other agencies over which the CJA maintains management control. Also, N-DEx may be utilized by a record-owning agency to retrieve and display N-DEx contributed records in association with performing the agency's data administration/management duty. Responses for this purpose shall not be disseminated for any other reason and are limited to the record-owning agency portion of N-DEx records. For detailed information on use codes, users should consult the *Criminal Justice Information Services (CJIS) National Data Exchange (N-DEx) Policy and Operating Manual* and also see Section: 4.2.1 Filters Tab—Search Reason Area.

Technical operational oversight and administrative management of the N-DEx system is located in the FBI's CJIS Division facility in Clarksburg, West Virginia. The system is governed by the CJIS Advisory Policy Board.

1.1 The Purpose of this *General User's Guide*

This *N-DEx General User's Guide* is organized from a user interaction perspective. It provides information for managing and using the N-DEx system and will be updated as new releases to N-DEx are implemented. Its purpose is to:

- a. Provide a working overview and basic instruction on the effective use of N-DEx.

- b. Provide detailed instructions on the functionality of search, visualization, collaboration, subscription, notification, and reporting capabilities of N-DEx.
- c. Provide advanced instruction on system and security administration.

This *General User's Guide* is available in several areas. It can be accessed through N-DEx via the User's Manual link on the N-DEx toolbar. It is also available on the Law Enforcement Enterprise Portal (LEEP) on the home page, in the N-DEx Spotlight Section, by clicking the N-DEx User's Manual link.

This *N-DEx General User's Guide* is considered Sensitive But Unclassified (SBU); however, it is not for dissemination outside of CJAs and CJA personnel. This Guide in any printed, copied, or electronic form must be securely destroyed/deleted when no longer needed.

1.2 N-DEx Overview

There are several secure methods available for accessing N-DEx. Users may access N-DEx through the LEEP (a United States Government-managed Internet feature), via a direct portal interface from their agency's system, or via a web service.

The following capabilities are contained within N-DEx (all users are given these capabilities):

- a. **Search:** enables a user to utilize N-DEx as an investigative tool to search data and relationships. Potential suspects; specific incident reports; arrest, incarceration and booking data; telephone numbers; vehicles; addresses; and location data shared by agencies can be discovered using the search function. Through search results, users are provided with a link to the Visualization feature where results are graphically presented.
- b. **Subscription/Notification:** enables a user to register for future information about records and entities, and specify how and when to receive those notifications. The user can subscribe to be notified about updates and/or changes to existing records (and/or other system users who are looking for similar entities or items of interest).
- c. **Collaboration:** enables users to collaborate by forming communities to share information generated within N-DEx (such as reports, search results and visualizations). The collaboration tool also delivers several additional capabilities: discussion forums in which members may share ideas; notifications to alert group members when new information is available; and introduction of pertinent data gathered outside of N-DEx.

The following administrative roles are contained within N-DEx (specific users are assigned these roles):

- a. **CSO Administrator** (CSO Admin): the individual serving in this role can access system tools to manage the N-DEx user, audit, and training functionalities for their ORIs. The CSO Admin assigns the User Administrator (UA), Audit Administrator (AA), and Training Administrator (TA) roles. Only the CSO Admin can delegate his/her role to another(s) who become Delegated CSO Admin(s).
- b. **User Administrator** (UA): the individual serving in this role can access system tools to assign roles and rights to agency/department users. The UA can also modify agency/department user accounts which are stored in N-DEx.
- c. **Source Data Administrator** (SDA): the individual serving in this role can access system tools to submit agency data to N-DEx (either directly as a data owner or through a state/regional submitting agency); access reports to maintain and monitor the agency's

data once it is in N-DEx; implement the agency's N-DEx sharing policies; establish sharing groups to access the agency's data; manage sharing groups and group access to the agency's sharing permissions; and manually submit records.

- d. **Audit Administrator (AA)**: the individual serving in this role can access system tools to grant and remove auditor roles, and delegate audit authority. Audit roles provide assigned persons the ability to generate, download, and delete audit reports.
- e. **Automated Processing Administrator (AP Admin)**: the individual serving in this role can access system tools to manage an N-DEx automated service which requires no subscription and which automatically seeks correlations between an agency's record data and submissions from both other agencies and the user's own agency. The AP Admin receives and reviews system generated reports reflecting potential correlations that may result in matching record entities. The AP Admin is responsible for distributing report notifications to the appropriate individual(s) within the agency/department associated with the case(s) for further review and action.
- f. **Training Administrator (TA)**: the individual serving in this role can access system tools and automated features to manage agency and N-DEx training requirements.
- g. **National Incident-Based Reporting System (NIBRS) Administrator (NA)**: the individual serving in this role can access system tools to control the initiation and monitoring of an agency's NIBRS data extraction process from N-DEx to the NIBRS Program when a NIBRS agency elects to submit its NIBRS data via its N-DEx submission.

1.3 N-DEx Data Protection

Information contained within N-DEx is criminal justice information, law enforcement sensitive, and to be used for criminal justice purposes only. The information contained within N-DEx is **not** intelligence data. Record information and screens contained within this User's Guide are only examples used to represent system functionality. The system and its data must be safeguarded pursuant to the *CJIS Security Policy* and the *Criminal Justice Information Services (CJIS) National Data Exchange (N-DEx) Policy and Operating Manual* via the Policy Manual link on the N-DEx system toolbar (or on the Law Enforcement Online (LEO) home page, N-DEx Spotlight Section for these guidelines). All users must follow all proper data and dissemination policies.

WARNING!—Advanced Permission Requirement—Permission to use N-DEx information must be obtained from the record-owning agency prior to reliance or action upon, or secondary dissemination. N-DEx information may only be relied or acted upon, or secondarily disseminated within the limitations specified by the record-owning agency. Reliance or action upon, or secondary dissemination of N-DEx information beyond the original terms requires further permission from the record owning agency. The use or inclusion of N-DEx information in the publication or preparation of charts, presentations, official files, analytical products or other documentation (to include: use in the judicial, legal, administrative, or other criminal justice process, etc.), specifically requires advanced permission.

2 USER ACCESS

2.1 Becoming a Member of N-DEx

There are several secure methods available for accessing N-DEx. Users can access N-DEx through the LEEP, through a hyperlink to the N-DEx portal from an agency's system, or via a web services interface. Users need to contact their local designated agency N-DEx Point of Contact (POC) to determine how the agency connects to N-DEx and the steps needed to obtain an account and access. All system access requests are vetted through the respective CJIS Systems Officer (CSO).

After obtaining an account, accessing the N DEx system varies and depends on the portal used. Users with questions may contact the CJIS/N DEx Help Desk at (304) 625-4357.

2.2 Accessing N-DEx through an Agency System

An agency may have a technical configuration which allows its users to access the N-DEx portal or use the Logical Entity EXchange Specifications-Search and Retrieve (LEX-SR) service from within the agency's system. After accessing the agency system, the user may see an N-DEx icon on their computer desk top. Or, users may automatically and simultaneously search N-DEx when a search is performed of the agency's database. Users need to contact their agency's N-DEx POC to determine how the agency connects to N-DEx, the steps needed to obtain an N-DEx account, and how to access N-DEx via the agency's system after obtaining an account.

2.3 Accessing N-DEx through the LEEP Portal

The LEEP is only available to persons employed by a law enforcement, criminal justice, or public safety agency, whose positions require secure communication with other agencies. When requesting access, be aware that the LEEP and N-DEx are official U.S. Government systems for authorized use only by authorized members of the criminal justice communities.

2.3.1 N-DEx System Account Process

Users must have both a LEEP and a LEO account to obtain an N-DEx account. To secure a LEEP account, the user can follow instructions provided on the LEEP web site (<https://www.cjis.gov>).

During the online application process, users will be prompted to read and acknowledge the *FBI Information Technology and Information Systems Rules of Behavior (ROB) for General Users Agreement Form*. Users submit the completed LEEP application and ROB to the Membership Office by clicking the Submit button. Upon approval of a LEEP account, users will be notified via personal e-mail or telephone that their account has been established and provided a LEEP User name and password. Once a user has a LEEP account, he/she will automatically have a LEO account.

Applicants should receive a response on their LEEP application request within 14 calendar days of applying. Applicants who have not received a timely response or who have any questions regarding the LEEP account process, LEEP/LEO access and/or reactivating an expired LEEP/LEO account should contact LEO Support Services at (888) 334-4536. Upon initial login

to LEEP, users will be prompted to enroll their membership by selecting personal security questions, an image, and a phrase.

To request N-DEx system access, a user should scroll down the list of services on LEEP home page and locate N-DEx (see Figure 2-1 LEEP Services—Request N-DEx Access. In the Access column for N-DEx, the user clicks the Request Access link which displays the N-DEx Special Interest Groups (SIGs) (see Figure 2-4 LEEP Challenge Question Screen).

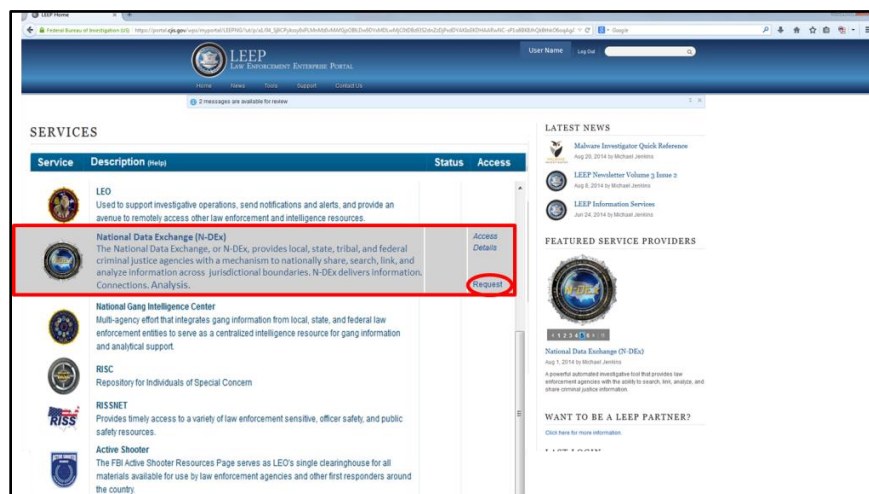


Figure 2-1 LEEP Services—Request N-DEx Access

On the N-DEx SIG screen, a user selects the applicable link (Federal, States, or Tribal). Instructions for requesting N-DEx SIG membership and thus, system access are provided on the Sub-SIG page.

Once N-DEx SIG membership has been approved by the responsible agency or state CSO (or designee) the user will be notified via LEO e-mail and provided further instructions for accessing the N-DEx system. Applicants who have questions regarding N-DEx SIG membership and/or N-DEx system access should contact the CJIS Help Desk at (304) 625-4357 (see Figure 2-2 N-DEx Special Interest Groups (SIGs)—Request N-DEx Account.

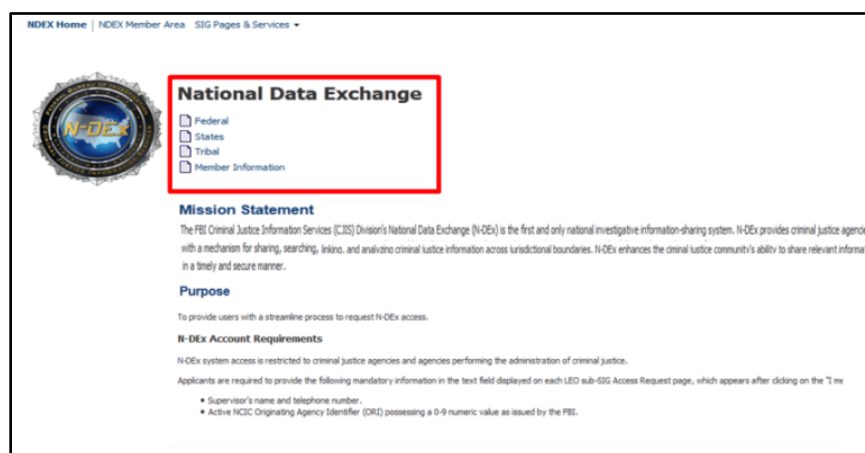


Figure 2-2 N-DEx Special Interest Groups (SIGs)—Request N-DEx Account

2.3.2 Logging into N-DEX via LEEP

From a computer with Internet access, the user should utilize the LEEP public web page at <https://www.cjis.gov>. In the designated fields on the LEEP Sign In screen, the user must enter his/her unique LEEP User Name and chosen password. After entering the required information, the user clicks the Sign In button (see Figure 2-3 LEEP Sign In Screen).

LEEP
LAW ENFORCEMENT ENTERPRISE PORTAL

Enter your username:

☒ Password ☐ Token

Sign In

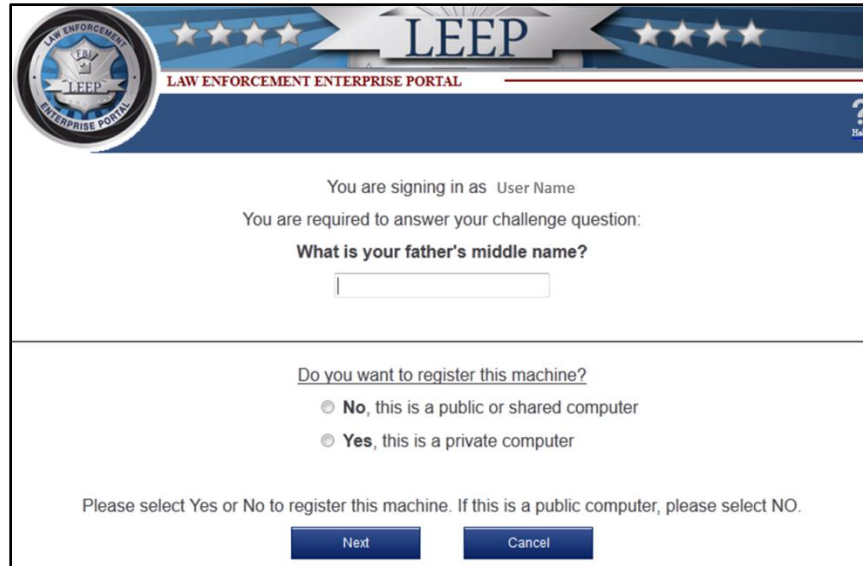
[Certificate Users](#)

You are accessing a U.S. Government information system, which includes this computer, this computer network, all computers connected to this network, and all devices and/or storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only. Unauthorized or improper use of this system may result in disciplinary action, and civil and criminal penalties. By using this information system, you understand and consent to the following: You have no reasonable expectation of privacy regarding any communications transmitted through or data stored on this information system. At any time, the government may monitor, intercept, search and/or seize data transiting or stored on this information system. Any communications transmitted through or data stored on this information system may be disclosed or used for any U.S. Government-authorized purpose.

WARNING! The use of publicly accessible computers (e.g. libraries, airports, cafes, hotels, etc.) to access this information system is unauthorized. This type of usage may result in the involuntary dissemination of information to unauthorized entities. Data may be left on this computer resulting in the next person using this machine the ability to view your data.

Figure 2-3 LEEP Sign In Screen

The user may be prompted with a challenge question(s) (see Figure 2-4 LEEP Challenge Question Screen). The user selects these questions during the LEO account application process. The LEEP uses challenge question(s) to form a second authentication other than the user's log in name. If prompted, the user must respond to the challenge question(s) and click the Next button. Additionally, the LEEP may prompt users to register their computer by selecting the radio button beside either No, this is a public computer or Yes, this is a private computer. Users should click the appropriate answer if prompted. After a user registers the computer, the LEEP will not challenge the user during subsequent log in attempts from that computer. All users must follow security rules regarding system access from a public computer.



LEEP
LAW ENFORCEMENT ENTERPRISE PORTAL

You are signing in as User Name

You are required to answer your challenge question:

What is your father's middle name?

Do you want to register this machine?

☐ No, this is a public or shared computer

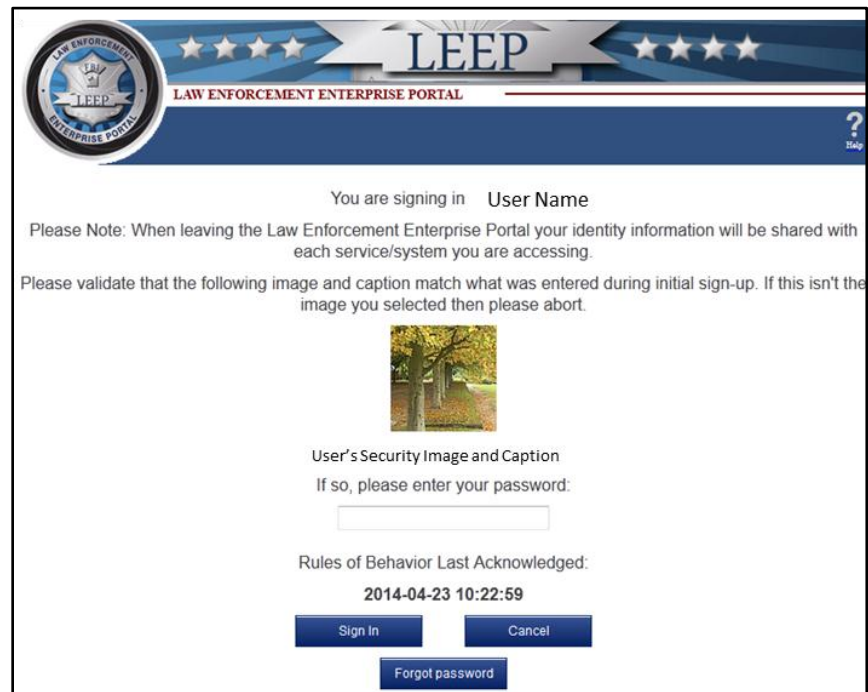
☐ Yes, this is a private computer

Please select Yes or No to register this machine. If this is a public computer, please select NO.

[Next](#) [Cancel](#)

Figure 2-4 LEEP Challenge Question Screen

The LEEP presents the user with an authentication page, identifying his/her user name and previously selected security image and phrase. The LEEP instructs the user to verify the image and phrase and enter his/her LEEP password. After entering the password, a user should click the Sign In button (see Figure 2-5 LEEP Security Sign In Screen). If a user clicks the Cancel button, his/her system sign in is canceled. If a user clicks the Forgot Password button, the LEEP prompts the user regarding his/her password.



LEEP
LAW ENFORCEMENT ENTERPRISE PORTAL

You are signing in User Name

Please Note: When leaving the Law Enforcement Enterprise Portal your identity information will be shared with each service/system you are accessing.

Please validate that the following image and caption match what was entered during initial sign-up. If this isn't the image you selected then please abort.



User's Security Image and Caption

If so, please enter your password:

Rules of Behavior Last Acknowledged:
2014-04-23 10:22:59

[Sign In](#) [Cancel](#)

[Forgot password](#)

Figure 2-5 LEEP Security Sign In Screen

Upon successful log-in to LEEP, the LEEP homepage displays (see Figure 2-6 LEEP Home Page and Services List. For additional information regarding LEEP-related security, questions, or problems, contact the LEEP Support Services at (888) 334-4536.

2.3.3 Accessing N-DEx

After securing both a LEEP and an N-DEx account, users can access N-DEx from the LEEP homepage. Services are listed in the Services window (see Figure 2-6 LEEP Home Page and Services List). Users do not have access to any services that are grayed-out; however, access requirements can be viewed via the Access Details link in the Access column. Also for convenience, users can move favorite services to the top of the Services list by clicking on the icon, and dragging and dropping. An indicator  displayed in the Status column will notify users if the service is down for maintenance.

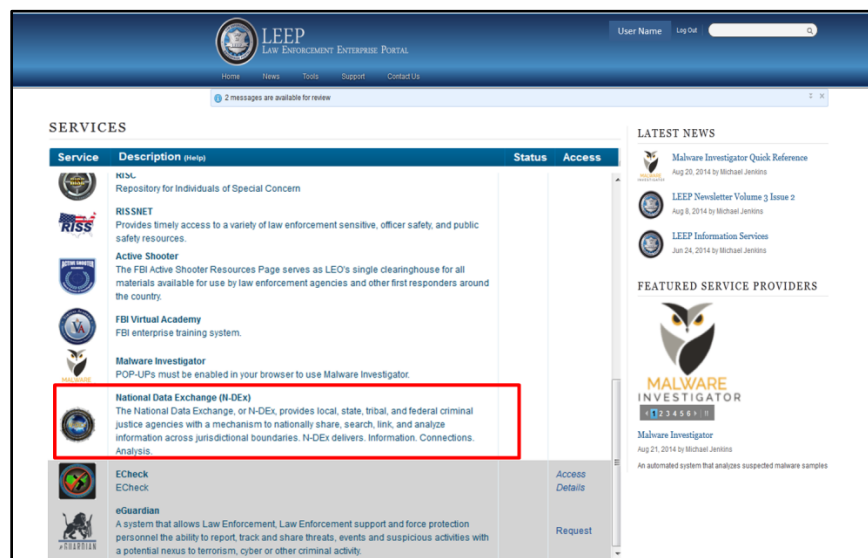


Figure 2-6 LEEP Home Page and Services List

The user can click on the N-DEx icon to access the system. A Welcome to N-DEx! Screen displays (see Figure 2-7 N-DEx Terms of Usage Acknowledgement). Users must read the Terms of Usage Acknowledgement message and agree by clicking on the I Agree button to access N-DEx. Acknowledging the importance of system security is not a trivial exercise. If a user cannot agree to the terms of usage, he/she should close the window using the Close button  in the upper right hand corner and return to the LEEP.

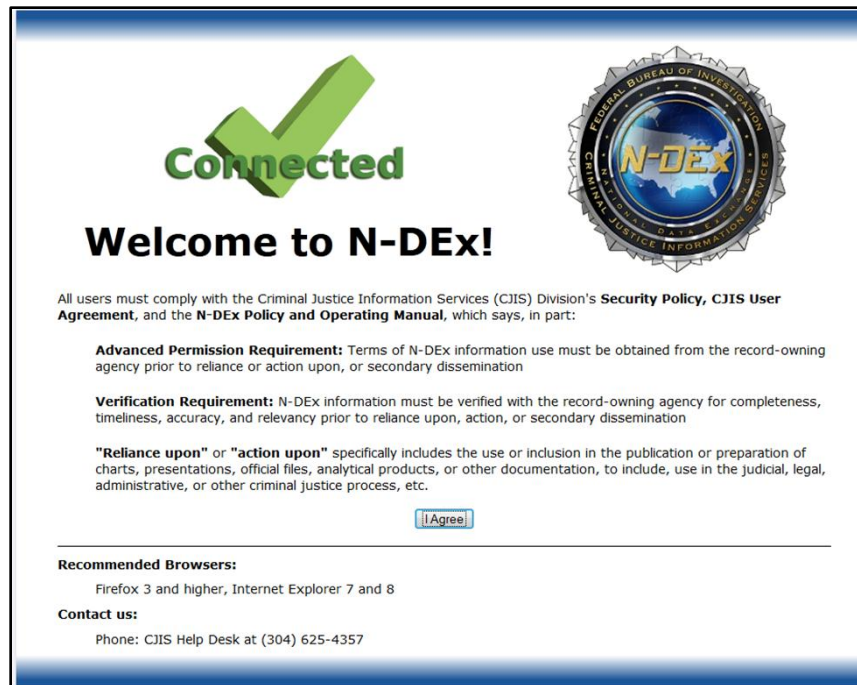


Figure 2-7 N-DEX Terms of Usage Acknowledgement

After clicking the I Agree button, a user gains access to the N-DEX system. N-DEX defaults to the Simple Search screen (see Figure 2-8 Simple Search Screen). N-DEX provides important system messages in the system messages area located at the top of each screen. Each time users log on, they are encouraged to read the system messages for important information. Users can also access messages via the Messages link on the toolbar. Users can change the default screen by following the steps in Section 2.4: How to Set Preferences.

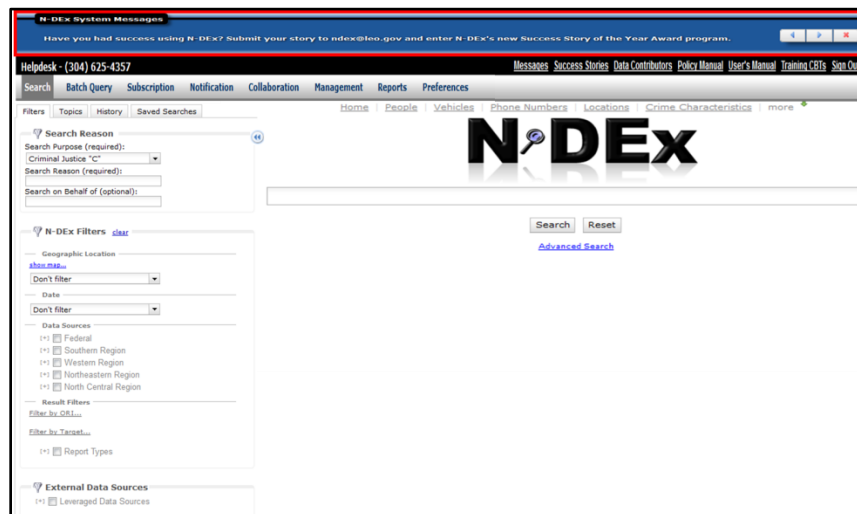


Figure 2-8 Simple Search Screen

If a blank desktop, without any search functionality displayed, an issue may exist with the user's assigned N-DEX role or search authorization. First, the user must contact their CJIS CSO or the CSO's designee. If the CSO (or designee) is unavailable or unable to resolve such an issue, the CSO (or designee) should contact the CJIS Help Desk at (304) 625-HELP (4357).

2.3.4 N-DEx Toolbar

Just below the messaging section, the user will see a black toolbar with links to the *Criminal Justice Information Services (CJIS) National Data Exchange (N-DEx) Policy and Operating Manual*, *N-DEx User's Guide*, N-DEx Success Stories, computer-based training (CBT), a list of data contributors, and a Sign Out button. Each of these links provides direct access to specific N-DEx tools. For example, if the user clicks on the Data Contributors link, a drop down list displays of all local, state, tribal, and federal criminal justice agencies that submit data to N-DEx. Within the list, the user can view agency-specific information, including the current number of records contributed (see Figure 2-9 N-DEx Toolbar).

If the user clicks on the Success Story link, reports from various agencies on their successful use of N-DEx are provided. Agencies are encouraged to submit N-DEx successes through their agency or state N-DEx coordinator or directly to the N-DEx Program Office (PO) for possible inclusion on the N-DEx Success Stories page.

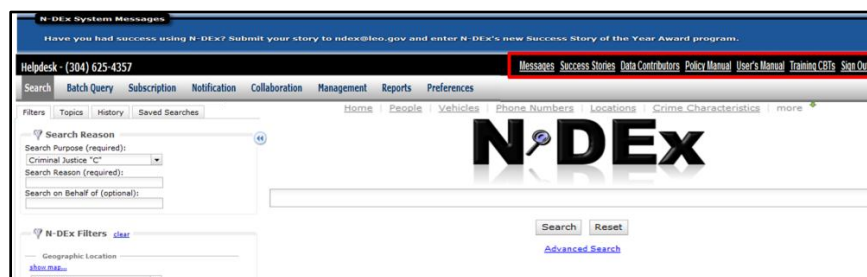


Figure 2-9 N-DEx Toolbar

If the user clicks on the Policy Manual link, the *Criminal Justice Information Services (CJIS) National Data Exchange (N-DEx) Policy and Operating Manual* displays for review. If the user clicks on the User's Manual link, the *N-DEx User's Guide* displays for review, offering guidance on utilizing all facets of the N-DEx system. Below the N-DEx toolbar is an area with a series of links representing N-DEx system functions. All users have access to the features of Search, Batch Query, Subscription, Notification, Collaboration, and Preferences. In addition, depending on the user's N-DEx role, the user may also have access to other administrative functions (i.e., management). Each feature is more fully discussed within its respective section in this manual.

2.4 How to Set Preferences

The Preferences tab (see Figure 2-10 Preferences Tab) is an optional feature of N-DEx which allows users the flexibility to:

- Change a user's preferred telephone and e-mail address.
- Change the system default screen from the Simple Search screen to the Collaboration, Subscription, Notification, or other screens.
- Choose whether to accept e-mail notifications of subscriptions and what e-mail address to utilize.
- Specify various default search filters.

After any preference change, N-DEx will display a pop-up window advising the user the change has been made but will take effect upon the next log in to the system.



Figure 2-10 Preferences Tab

2.4.1 Preferences Tab—My Profile Sub-Tab

When a user clicks the My Profile sub-tab, the My Profile screen displays where a user can view and verify his/her Name, Agency Name, Agency ORI, Department, Address, Work Telephone Number, and Email Address (see Figure 2-11 Preferences Tab—My Profile Sub-Tab).

 A screenshot of the 'My Profile' sub-tab within the 'Preferences' section. The 'Save' button is highlighted with a red rectangle. Below the button are tabs for 'My Profile', 'General', 'Search Filters', and 'Search Filters (cont...)'. The 'My Profile' tab is active, displaying a form with the following fields: Name (User's Name), User ID (User's N-DEx User ID), Agency Name (User's Agency Name), Agency ORI (User's Agency ORI Number), Department (User's Agency Department), Address (User's Address), Work Telephone Number (User's Work Telephone Number), and Email Address (User's Email Address).

Figure 2-11 Preferences Tab—My Profile Sub-Tab

2.4.2 Preferences Tab—General Sub-Tab

When a user clicks on the General sub-tab, the General screen displays which provides options where the user can change the desktop view to display a screen other than the login default and where Subscription/Notification Email can be changed (see Figure 2-12 Preferences Tab—General Sub-Tab—Start Screen).

2.4.2.1 Changing Default Log In View

The user can change the system default (Simple Search) screen displayed upon login, if desired, by clicking the down arrow to open the drop down menu associated with Start screen (see Figure 2-12 Preferences Tab—General Sub-Tab—Start Screen). A different log in screen can be selected from the list if the user clicks (highlights) the desired option. The selected personal preference must be saved to initiate the change. Clicking the Save button will save the selection and display that screen upon subsequent log in.

The screenshot shows the 'Preferences' tab with the 'General' sub-tab selected. The 'Start Screen' dropdown menu is open, displaying a list of options: 'Search', 'Search', 'Search', 'Batch Query', 'Subscription', 'Notification', and 'Collaboration'. The first 'Search' option is highlighted. Other visible options include 'Subscription/Notification Email', 'Save Alternate Email', 'Save Preferred Telephone', and 'Show Map'.

Figure 2-12 Preferences Tab—General Sub-Tab—Start Screen

2.4.2.2 Set Up Subscription/Notification Preferences

In addition, a user may also set up Subscription/Notification Email, Save Alternate Email and Save Preferred Telephone number preferences through the Preferences tab and the General sub-tab.

To choose whether or not to receive Subscription/Notification e-mails, users should click the drop down arrow beside Subscription/Notification Email, and select either No Emails or Get Emails (see Figure 2-13 Preferences Tab—General Sub-Tab—Subscription Email). If a user wants to receive e-mail notifications when subscriptions match incoming data, the user must select Get Emails. Notification e-mails will be sent to the e-mail address shown on the users profile under the My Profile sub-tab of the Preferences tab. Or, a user can specify an alternate e-mail address where notifications will be sent. It is strongly recommended that users send all system notification e-mails to their LEO account and/or official, work-assigned e-mail address. E-mail notifications could contain Personally Identifying Information (PII) and using a LEO or an official work assigned e-mail address keeps PII secure. Using any other e-mail account could compromise PII security. To save an alternate e-mail address, a user should click within the box beside Save Alternate Email to activate the box, and type in the e-mail address. For system notifications, only one e-mail address can be utilized. When an alternate e-mail address is entered and saved, it will be used for system subscription notifications, not the profile e-mail address.

A user's telephone contact number is shown on the My Profile tab. To specify contact to a different telephone number, the user can enter and save a preferred telephone number. To save a preferred telephone number, the user must click within the box beside Save Preferred Telephone to activate the box, type in the telephone number, and click the Save button to save the selected personal preferences (see Figure 2-13 Preferences Tab—General Sub-Tab—Subscription Email).

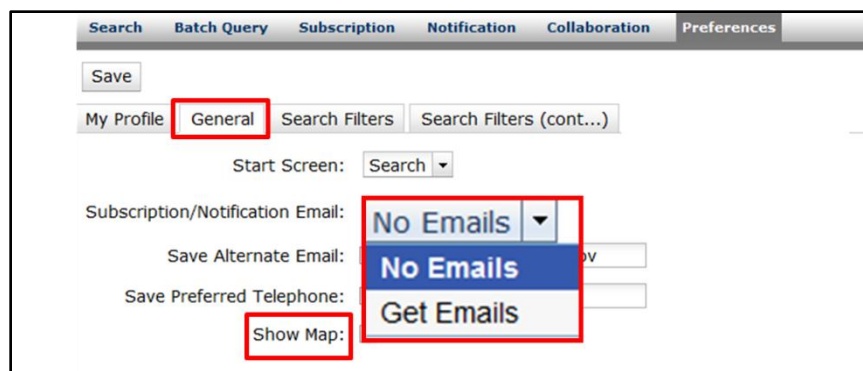


Figure 2-13 Preferences Tab—General Sub-Tab—Subscription Email

2.4.3 Preferences Tab—Search Filters Sub-Tab

N-DEx defaults to no filters being selected so all data types and data sources are searched when a user makes an inquiry. Without any type of filter(s) being employed, N-DEx returns the broadest set of results, presenting more opportunities for data matching the user's search criteria to result. However, if a user is interested in only a specific type of record(s), time frame, or geographical area he/she can limit results by filtering. Setting search filter(s) preferences will automatically and repeatedly narrow search results for each and every search conducted by the filter(s) selected. To initiate differing search filters on a search by search basis, system users and utilize the Filters tab on the search screen instead of setting preference filter(s). Additional information on search filters is available in Section 4.2.2: Filters Tab—N-DEx Filters.

The user can click on the Search Filters sub-tab to display the Search Filters screen (see Figure 2-14 Preferences Tab—Search Filters Sub-Tab) where options are provided for:

- a. Map Filters.
- b. Date filters.
- c. Results Per Page.
- d. Include Similar Names.
- e. Federal Data Source Filters.
- f. State/Local/Tribal/ Data Source Filters.

A user may make selections from individual menus to set his/her personal choices for utilizing map level (Map Filter), the date range (Date Filter), and how many results will be displayed on the search results page (Results Per Page). The Map Filter and Date Filter are set to the system default of Don't Filter. The Results Filter is set to the system default of 10 Results Per Page.

A user may also change the Probabilistic Name Matching (PNM) default setting when performing certain searches. N-DEx continually searches for similar names on a Targeted Person-type search as the default setting (thus, on both the Preferences tab, Search Filters sub-tab screen and in the Targeted Person search window, the Include Similar Names box is checked by default). To use PNM on a search by search basis (not continually as the default setting), the user can uncheck this box on the Preferences tab, Search Filters sub-tab screen. Once unchecked as a preference, the user must select the Search for Similar Names box on the Targeted Person screen for any search he/she is initiating that he/she wishes to also include similar names in the search results. Detailed information on PNM is provided in Section 4.8.1: Probabilistic Name Matching (PNM)—Search for Similar Names.

In addition, a user may select what data sources will be searched as a result of his/her search inquiry. N-DEx defaults to unchecked boxes wherein all of the data sources comprising this filter will be searched unless a selection(s) is made from the filter list(s). Selecting the filter heading, by checking the box beside the heading name, will limit the search to all data sources comprising either the Federal Data Source Filters and/or the State/Local/Tribal Data Source Filters.

To filter a search inquiry using only certain data sources, the user should check the box beside that/those data source(s). Only the checked data source(s) is searched (see Figure 2-14 Preferences Tab—Search Filters Sub-Tab). The Expand symbol  beside the filter headings expands either list so available data sources may be viewed and/or selected. The Collapse symbol  closes the expanded listing so only the filter headings are viewable. The user must click the Save button to retain the selected personal preferences.

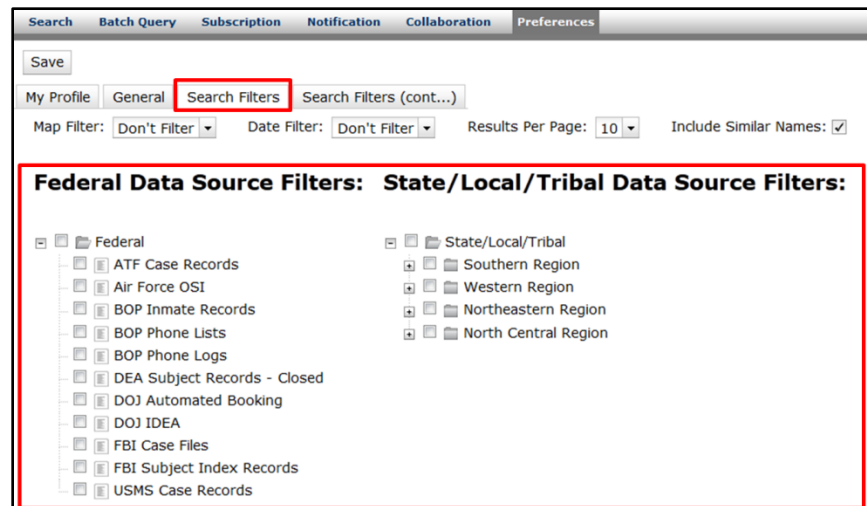


Figure 2-14 Preferences Tab—Search Filters Sub-Tab

2.4.4 Preferences Tab—Search Filters (cont...) Sub-Tab

The Search Filters (cont...) sub-tab provides additional filter options for:

- a. Result Filters.
- b. External Filters.
- c. Person Roles.

A user may make selections from individual lists to set his/her personal choices for utilizing Result Filters (Report Types), Leveraged Data Sources (Partner Systems: Department of Homeland Security (DHS) data and United States National Central Bureau (USNCB) Interpol Criminal Police Organization (INTERPOL) data), and what type of Person Roles within a record(s) he/she is interested in. N-DEx defaults to an unchecked box(es) wherein all of the report types, and person roles comprising these filters will be searched unless a selection(s) is made from the filter list.

A user may choose the Expand symbol  to expand the lists and check one or more Result Filters, External Filters, and/or Person Roles individually to be filtered when using the search function. The Collapse symbol  closes the expanded listing so only the filter headings are

viewable. The user must click the Save button to retain the selected personal preferences (see Figure 2-15 Preferences Tab—Search Filters (cont...) Sub-Tab).

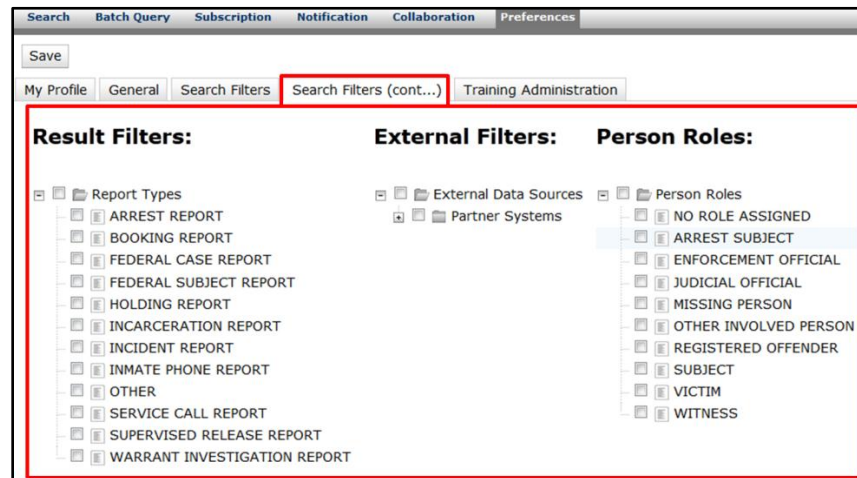


Figure 2-15 Preferences Tab—Search Filters (cont...) Sub-Tab

2.5 Sign Out/Logging Off

After completing a session within N-DEx, a user **must** securely sign out by clicking the Sign Out link on the system toolbar (see Figure 2-16 N-DEx System Sign Out Link).



Figure 2-16 N-DEx System Sign Out Link

After the user clicks the Sign Out link, a confirmation screen is presented (see Figure 2-17 Sign Out Confirmation). To securely exit N-DEx, users **must** click the Sign Out button, or click the Cancel button to return to N-DEx and not terminate the session.



Figure 2-17 Sign Out Confirmation

If a user has not saved information from N-DEx, that work will be lost upon sign out. Once the Sign Out button is clicked, dependent upon the Internet browser used, an additional confirmation screen may be presented confirming the user has signed out of N-DEx (see Figure 2-18 N-DEx Sign Out Screen).

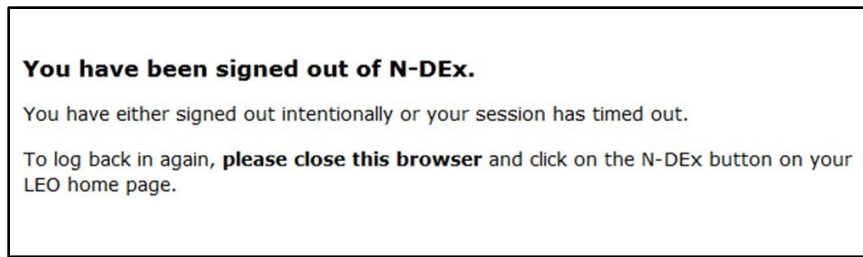


Figure 2-18 N-DEx Sign Out Screen

Signing out of the system prevents unauthorized access to N-DEx and a user's account. A secure sign out is especially important if a shared computer is used. Additionally, users **must** lock the terminal/screen anytime there is a need to walk away from their computer during an N-DEx session.

3 TRAINING



Figure 3-1 N-DEx Toolbar—Training Link

Available CBTs are displayed on the N-DEx Training Page. Modules are recommended based upon a user's current position: CJA Executive/Management, CJA Investigator/Analyst, and CJA N-DEx Administrators. To access and complete any training module, users must click the provided link(s) to open and initiate the CBT (see Figure 3-2 N-DEx Training Page). Once the specified training module is completed, a user has the option to print a certificate authenticating his/her successful completion. Users who decide not to print the certificate upon completion of the module will be unable to access the certificate for printing at a later date unless the entire CBT module is completed again.

An agency may have an N-DEx TA who manages the N-DEx training and re-certification process (if any) for all users within his/her assigned ORI(s). N-DEx provides automated features and capabilities to assist the TA in managing N-DEx training requirements; see detailed instructions in Section 10.5: Training Administrator.

The N-DEx PO can discuss CJA N-DEx training needs, opportunities, and support available for users.

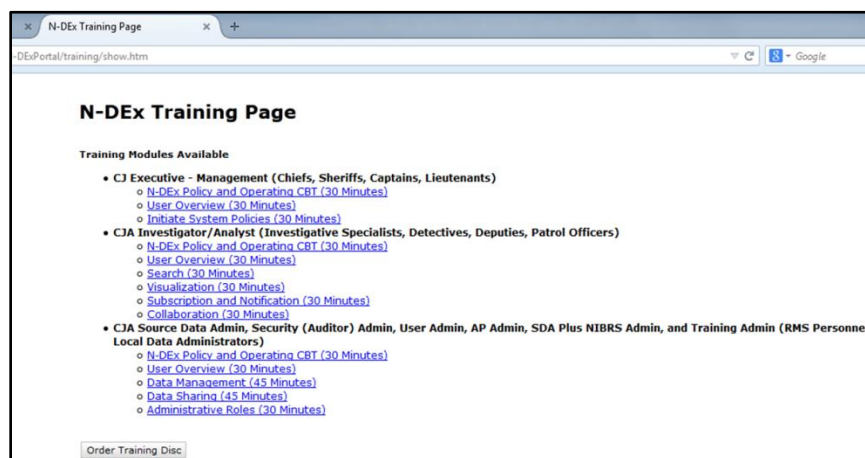


Figure 3-2 N-DEx Training Page

If users are unable to view the CBTs through the link provided, the agency's N-DEx TA should be contacted to provide the CBTs on compact disc (CD). However, if unavailable through the agency's TA, CDs can be electronically requested from the N-DEx PO.

CBTs on CD can be ordered by:

- Clicking on the Order Training Disc button to display the Order a Training Disc window, (see Figure 3-2 N-DEx Training Page).
- Verifying the user's Name, Address, City, State, Zip Code and Phone information is accurate (automatically completed by N-DEx based upon that user's log in and information contained within the user's profile); and/or overwriting any field to correct

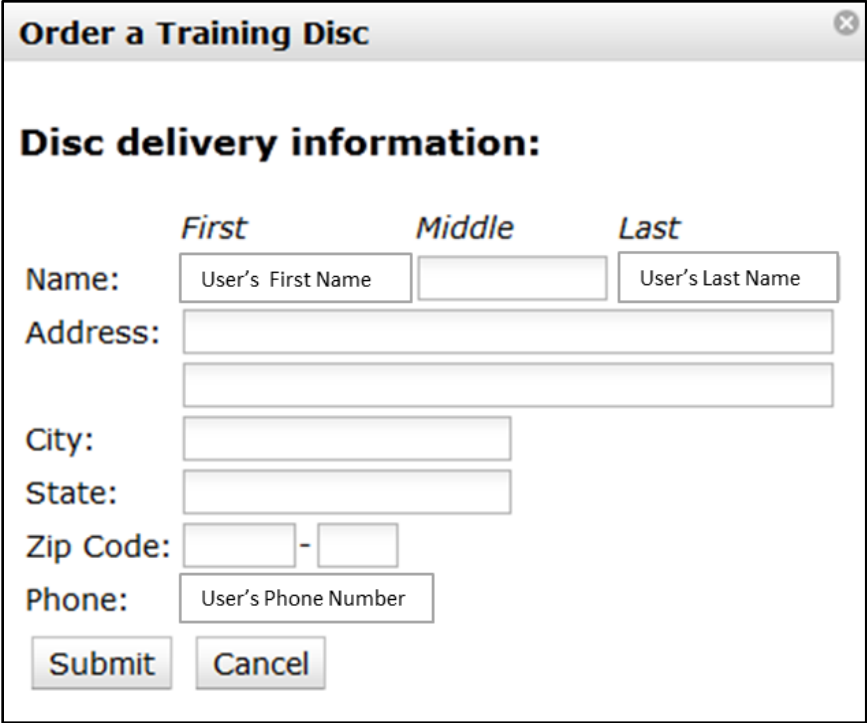
information, as needed. Additionally, the user is reminded to also correct his/her profile information as needed (see Figure 3-3 Order a Training Disc Window).

- c. Completing the order by clicking the Submit button.

OR

- d. Clicking the Cancel button or the Close button  to cancel the specific order request and not submit it. The user will be returned to the N-DEx Training Page.

To close the N-DEx Training Page, a user should click the Close button  in the corner of the screen and return to the N-DEx Simple Search screen.



Order a Training Disc

Disc delivery information:

First *Middle* *Last*

Name:

Address:

City:

State:

Zip Code: -

Phone:

Figure 3-3 Order a Training Disc Window

Once the CD is received and loaded into a user's computer, he/she can click any training module to display it with the navigation controls. The modules prompt users through the self-paced training sessions, demonstrating the system functions. Through the use of the CBT modules, users gain an understanding of how N-DEx can support them and their agency.

4 SEARCH FEATURE

4.1 Overview

Individuals working on cases are able to discover criminal justice information, and to link, analyze, and share, information from and with other CJAs across America using N-DEx. Searching N-DEx allows users to find individuals; specific incident reports; arrest, incarceration and booking data; vehicles; addresses; and location data. Users can link and view information from participating agencies' data.

N-DEx has the capability to perform three types of searches.

- a. **Simple Search:** uses a Google™-like search process to provide a large variety of results. A Simple Search can also be targeted by using Result Filters; see detailed instructions in Section 4.2.6 Filters Tab—Result Filters, to focus the search of all data to a specific entity(ies).
- b. **Advanced Search:** allows for more defined and specific search criteria.
- c. **Targeted Search:** provides a more focused search using entities such as people, vehicles, phone numbers, locations, and crime characteristics.

The search screens display several easy to navigate functions. The Simple Search field enables a user to type in a word or phrase to query N-DEx. Targeted Search options include People, Vehicles, Phone Numbers, Locations, Crime Characteristics and More to target entity search types. Every search is initiated by clicking the Search button (see Figure 4-1 N-DEx Search); also see detailed instructions in Sections 4.5: Performing an Advanced Search and Section 4.7: Performing a Targeted Search.

The search screens also display four tabs used in conjunction with each of the search types. Detailed information about each of these tabs and use of the various filters is covered in Section 4.2: Search Screen Tabs and Section 4.17: Search Screen Tabs—Topics Tab through Section 4.19: Search Screen Tabs—History Tab.

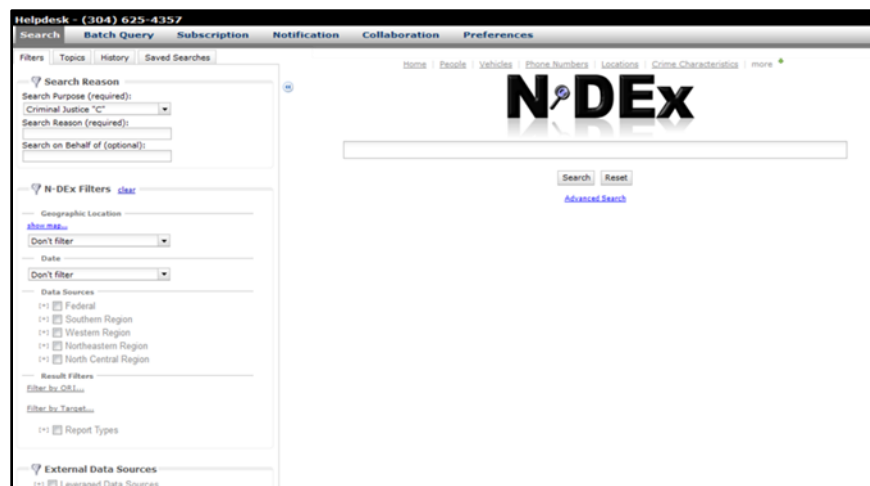


Figure 4-1 N-DEx Search

4.2 Search Screen Tabs

Four tabs are on the left side of the search screen: the Filters tab, the Topics tab, the History tab, and the Saved Searches tab. N-DEx defaults to displaying the Filters tab. Each tab provides a user with useful tools. A user must indicate the purpose and reason for any search using the Filters tab in the Search Reason area. The Filters tab also provides a user with tools to filter any search to produce results associated with a particular geographic location, timeframe, data source, and/or report type. The Topics Tab provides users with the capability to filter search results based on topics occurring in record results from Simple searches. The user's History tab records all searches, and a user can review previous search results using this tab. The Saved Searches capability saves the user's search query criteria for future use. To hide the tabs from view, the user can click the Hide button  located next to the Search Reason heading, which gives a user a larger view of the search screen.

4.2.1 Filters Tab—Search Reason Area

The user is required to enter a Search Purpose and a Search Reason before executing a Simple, Advanced, or Targeted Search query. Within the Search Purpose (required): field, a user can click the down arrow to display a menu of current search purposes (see Figure 4-2 Filters-Search Purpose). Users should select the appropriate purpose for the search from the menu. The search purpose is currently defaulted to Criminal Justice (C) purposes. Purpose Code C must be used when N-DEx is utilized for official duties in connection with the administration of criminal justice as the term is defined in 28 Code of Federal Regulations (CFR) § 20.3 (2011).



Figure 4-2 Filters-Search Purpose

Criminal Justice Employment Code (J) must be used when N-DEx is utilized to conduct criminal justice employment background checks or for the screening of employees of other agencies over which the criminal justice agency maintains management control. In order to use N-DEx to conduct criminal justice employment background checks, the agency must adhere to specific notice and consent, redress and audit requirements as provided in the *Criminal Justice Information Services National Data Exchange (N-DEx) Policy and Operating Manual*.

Administrative File Maintenance Code (A) must be used when a record-owning agency or submitter/aggregator uses N-DEx to retrieve and display N-DEx contributed records in association with performing the agency's data administration/management duty. Responses for this purpose shall not be disseminated for any other reason and are limited to the record-owning agency portion of N-DEx records.

Within the Search Reason (required): field, the user must enter the reason for the search. For instance, users may enter the case name, case number, or some other identifier which clearly

reflects the reason the search is being performed. The Search Purpose and Search Reason are required for system audit purposes as users must have a legitimate purpose and reason for performing a search query (see Figure 4-3 Filters—Search Reason). A user can also record if the search performed was on behalf of another person by typing that information into the on Search on Behalf of (optional): field. If the search is performed for someone else and/or the search results will be provided to another person (i.e., secondarily disseminated), the user should enter the individual recipient's name, etc. into this field.

The screenshot shows the N-DEX web application interface. The top navigation bar includes links for Search, Batch Query, Subscription, Notification, Collaboration, and Preferences. Below this, a secondary navigation bar lists various filter categories: Filters, Topics, History, and Saved Searches. The 'Filters' tab is active, and within it, the 'Search Reason' section is highlighted with a red rectangular box. This section contains three fields: 'Search Purpose (required):' with a dropdown menu currently set to 'Criminal Justice "C"', 'Search Reason (required):' with an empty text input field, and 'Search on Behalf of (optional):' with another empty text input field. To the right of these fields is the large 'N-DEX' logo. Below the logo are 'Search' and 'Reset' buttons, and a link for 'Advanced Search'. At the bottom left, there are 'N-Dex Filters' and 'clear' links, along with a 'Geographic Location' dropdown menu.

Figure 4-3 Filters—Search Reason

If a user fails to enter a search reason prior to initiating the search, a dialog window will prompt the user to enter the information before N-DEX initiates the search (see Figure 4-4 Filters—Search Reason Reminder). Once a search reason is entered, N-DEX retains that reason for the duration of a user's session. The user should change the search reason so that it is applicable to each search being performed.

The screenshot shows a 'Search Reason' dialog box with a red border. The title bar reads 'Search Reason'. The main text states: 'A reason for performing this search must be entered before proceeding.' Below this, a message says: 'Please fill out the fields below. These only have to be set once per session, and may be changed at any time by modifying the Search Reason section on the filters panel.' The dialog contains three input fields: 'Search Purpose (required):' with a dropdown menu set to 'Criminal Justice "C"', 'Search Reason (required):' with an empty text input field, and 'Search on Behalf of (optional):' with another empty text input field. At the bottom are 'Ok' and 'Cancel' buttons.

Figure 4-4 Filters—Search Reason Reminder

4.2.2 Filters Tab—N-DEX Filters

The Filters tab allows a user to restrict and refine any search conducted. Any search type (Simple, Advanced, Targeted, or Advanced Targeted) may be filtered.

A search may be filtered by (see Figure 4-5 Search Filters):

- Geographic Location:** which limits the record results to a selected city/state, latitude/longitude (lat/long), or map location.
- Date:** which limits the record results to a selected date range.
- Data Sources:** which limits the record results to selected federal agencies and/or individual states (organized by region) which contribute data to N-DEx.
- Result Filters:** which limits record results to selected report types such as incident, arrest, and booking reports, etc. and/or to the record results for a specific ORI. For Simple Searches, record results can also be limited to specific targets such as people, locations, vehicles, etc.
- External Data Sources Filters:** which allows users to access DHS and USNCB INTERPOL data.

Filters may be combined to further enhance the search. To clear all filter selections, a user clicks the Clear link  next to the N-DEx Filters heading. Users should utilize filters to narrow search results as desired; however, users should be cognizant to clear filters between searches when not wanted.

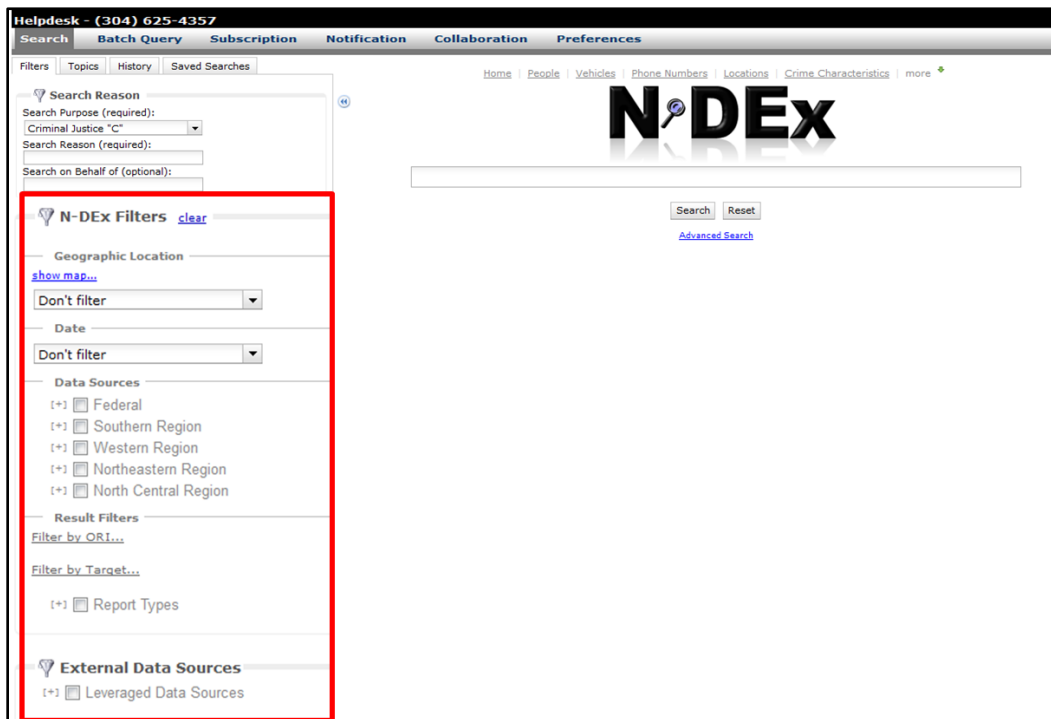


Figure 4-5 Search Filters

4.2.3 Filters Tab—Geographic Location Filter

The Geographic Location filter (which defaults to Don't Filter) narrows search results to those records associated with a specific city and/or state; specific lat/long; or an encircled geographic area to be searched.

The Geographic Location feature (see Figure 4-6 Geographic Location Filter):

- Searches an area and returns records occurring nearest to a point/region—city/state.
- Searches an area and returns records within a specified distance of a point—lat/long.

- c. Searches an area on a map and returns records either within a specified region or within a specified radius around a point of interest—show map.

When the user clicks the down arrow beside the Don't Filter default, the geographic location filter menu displays where a filter selection can be made.

The screenshot shows a web interface with tabs for 'Filters', 'Topics', 'History', and 'Saved Searches'. The 'Filters' tab is active. Under the 'Search Reason' section, there are fields for 'Search Purpose (required):' (set to 'Criminal Justice "C"'), 'Search Reason (required):', and 'Search on Behalf of (optional):'. Below this is the 'N-DEx Filters' section, which includes a 'clear' link. The 'Geographic Location' section is highlighted with a red box. It contains a 'show map...' link and a dropdown menu. The dropdown menu is open, showing the following options: 'Don't filter' (highlighted in blue), 'Enter city/state...', 'Enter lat/long...', and 'Show map...'.

Figure 4-6 Geographic Location Filter

4.2.3.1 Geographic Location Filter: Enter City/State

To filter by a city and/or state, a user selects the Enter City/State Geographic Location menu option. The user inputs the city and state in the respective fields, or can select the state or U.S. territory from a menu displayed by clicking the down arrow (see Figure 4-7 Geographic Location Filter—City/State).

The screenshot shows the 'N-DEx Filters' interface. Under the 'Geographic Location' section, the 'Enter city/state...' dropdown is selected, displaying a list of US states and territories. The list includes: Alabama, Alaska, American Samoa, Arizona, Arkansas, Armed Forces Africa, Canada, Europe, Middle East, Armed Forces Americas (except Canada), Armed Forces Pacific, California, Colorado, Connecticut, Delaware, and District of Columbia. A red box highlights the dropdown menu and its list.

Figure 4-7 Geographic Location Filter—City/State

4.2.3.2 Geographic Location Filter: Enter Latitude/Longitude

To filter by north/south (latitude) and east/west (longitude) coordinates, a user selects the Enter lat/long... menu option. In the respective fields, the user inputs latitude, longitude, and specifies a radius (in miles) from that point (see Figure 4-8 Geographic Location Filter—Lat/Long).

The screenshot shows the 'N-DEx Filters' interface. Under the 'Geographic Location' section, the 'Enter lat/long...' dropdown is selected, displaying input fields for 'Latitude (y)', 'Longitude (x)', and 'Radius (miles)'. A red box highlights the dropdown menu and its input fields.

Figure 4-8 Geographic Location Filter—Lat/Long

4.2.3.3 Geographic Location Filter: Show Map

To filter search results by a specified region or within a specified radius around a point of interest, a user selects the Show Map... menu option. After the user clicks the Show Map option, the menu choice changes to Filter by Map and displays a map of the United States (see Figure 4-9 Geographic Location Filter—Show Map). Or, a user can click on the Show Map...link to display the map.

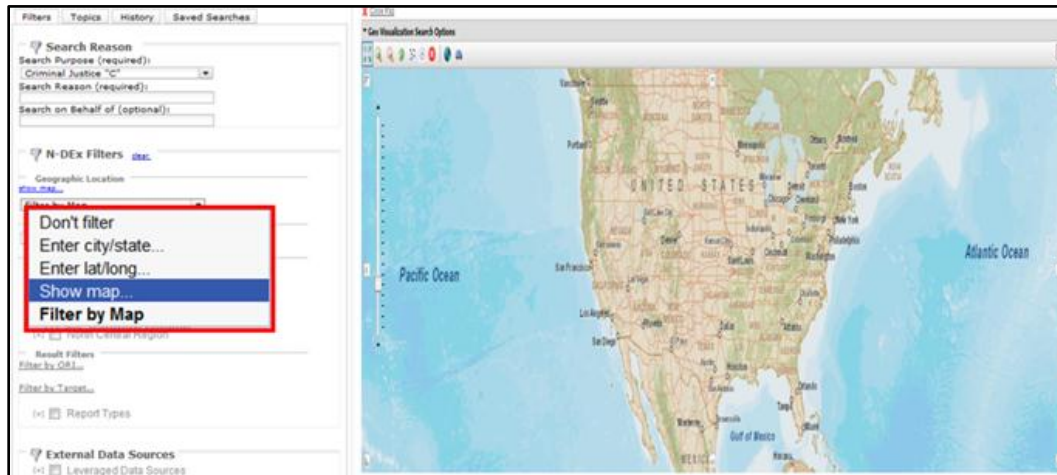


Figure 4-9 Geographic Location Filter—Show Map

On the map display, the user can utilize the Draw Polygon or the Draw Point and Radius features to designate a geographic location. N-DEX filters the search and returns only results associated with the geographic area selected.

To use the Draw Polygon feature, users should click the Polygon icon  on the Geo Visualization Search Options toolbar. Users are instructed to click on a starting point, then to release and drag the computer mouse to draw a line. When the line reaches a desired point of change, the user clicks once to set a second point, then drags the line (moves the mouse) to another point. This action (i.e., click, drag, and click) is repeated until the polygon figure (any shape but always with five sides) reaches its starting point. To complete the polygon, the user double clicks the mouse. In our example, a polygon has been drawn to encompass an area which includes several California cities and an area of the state of Arizona, near Phoenix (see Figure 4-10 Geo Visualization Search Option—Draw Polygon).

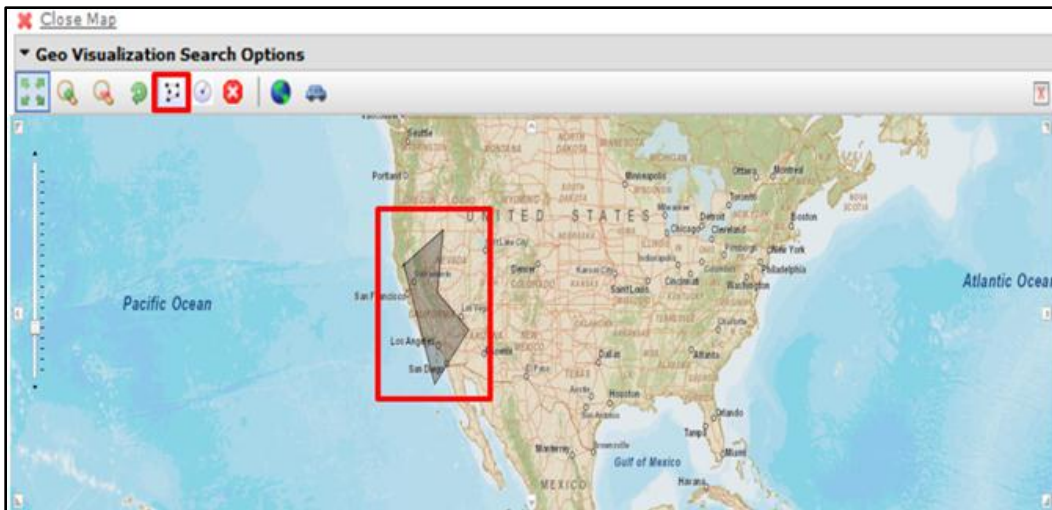


Figure 4-10 Geo Visualization Search Option—Draw Polygon

To use the Draw Point and Radius feature, users should click the radius icon  on the Geo Visualization Search Options toolbar. Once the user clicks the icon, instructions are provided at the top of the screen, indicating the user should click on a map point at the center of interest and enter the radius in miles (see Figure 4-11 Geo Visualization Search Option—Draw Point and Radius).

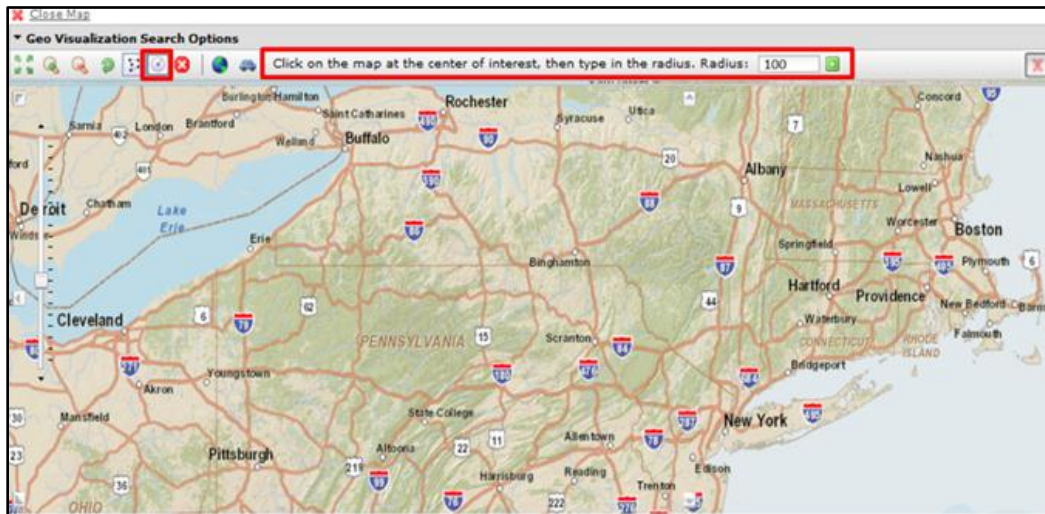


Figure 4-11 Geo Visualization Search Option—Draw Point and Radius

In our example, a user selected the city of Albany on the map display, and then entered a 100 mile radius (see Figure 4-11 Geo Visualization Search Option—Draw Point and Radius). Initially clicking on the map point doesn't change the map display nor show any highlights. Once the point of interest is clicked (or set) and the desired radius entered, the user must click the right facing arrow  to produce the radius on the map (see Figure 4-12 Geo Visualization Search Option—Radius Display). If a different point/radius desired, the user clicks the Clear button  and repeats setting another point/radius.

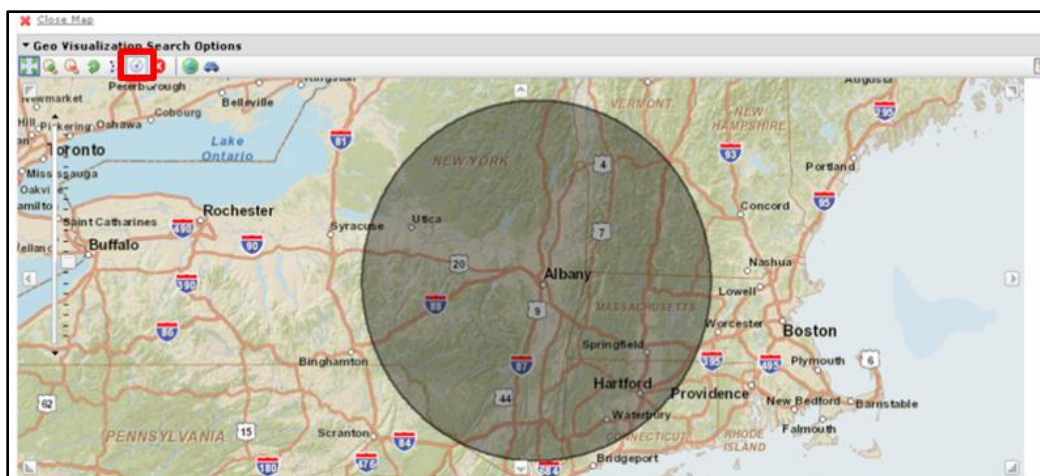


Figure 4-12 Geo Visualization Search Option—Radius Display

Several tools are available to users when using the map (see Table 4-1 Geo Visualization Search Option— Map Display Toolbar Functions):

Table 4-1 Geo Visualization Search Option— Map Display Toolbar Functions

Icon	Button Name	Description
	Pan	Allows movement within the visualization diagram in any direction the user chooses.
	Zoom In	Changes the view of the chart by increasing the Geo Visualization view.
	Zoom Out	Changes the view of the chart by decreasing the Geo Visualization view.
	Zoom to Full Extent	Changes the view of the chart by increasing the Geo Visualization view to the full screen size.
	Draw Polygon	Allows a polygon figure (any shape but always with five sides) to be drawn on the map so the search will be narrowed and results returned specific to and/or associated with the area of the map within the polygon.
	Draw Point and Radius	Allows a map point to be designated as the center of interest and a distance in miles to be specified from the center point in order to filter Search results and return only results specific to the geographic area selected.
	Clear	Removes any action taken on the Geo Visualization Map.
	Satellite View	Changes the view of the chart by displaying the map from an orbital perspective or view from space.
	Street View (the default view)	Changes the view of the chart by displaying the map area as a flat surface with cities, towns, streets, routes, etc. coordinates.

To open and display the Geo Visualization Search Options, or to collapse and hide the toolbar, the user should click the arrow. The arrow changes from facing right to facing downward (or vice versa) to open or hide the toolbar.

The user must click the Close Map link Close Map to close the map. To clear the Geographic Location filter and return it to the default setting (Don't Filter), the user must click the Clear link. Users should always clear filters between searches.

4.2.4 Filters Tab—Date Filter

The Date filter limits search results to a desired time frame by providing users with a range of date choices (such as last week, last month, last 6 months, etc.). Using the filter, N-DEX returns only records associated with the selected time period. The filter defaults to Don't Filter.

To filter a search by date, the user clicks the down arrow to display the menu options, and makes a selection (see Figure 4-13 Date Filter).

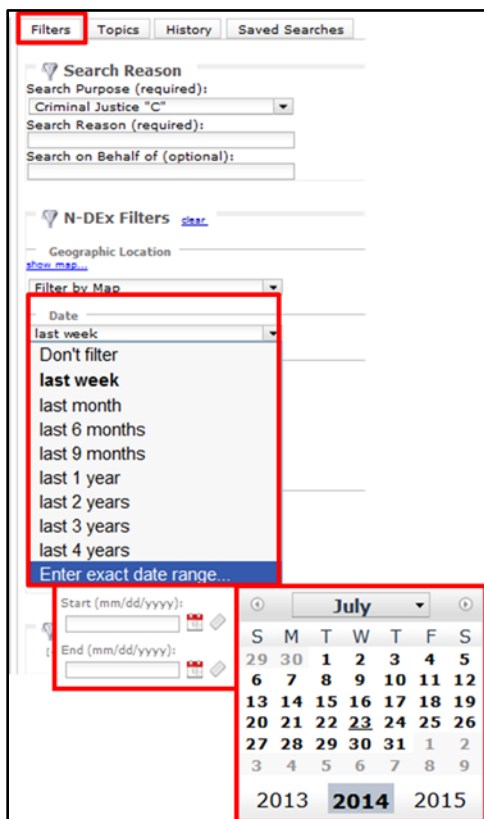


Figure 4-13 Date Filter

A user can also establish specific beginning and ending dates by selecting the Enter Exact Date Range option. Once this filter is selected, a user can input a starting date and an ending date of his/her choice in the respective Start and End fields. Or users can click on the respective calendar icon  and then click on the desired calendar dates. N-DEX places the selections into the starting or ending date field(s). To clear either date, a user must click the eraser icon .

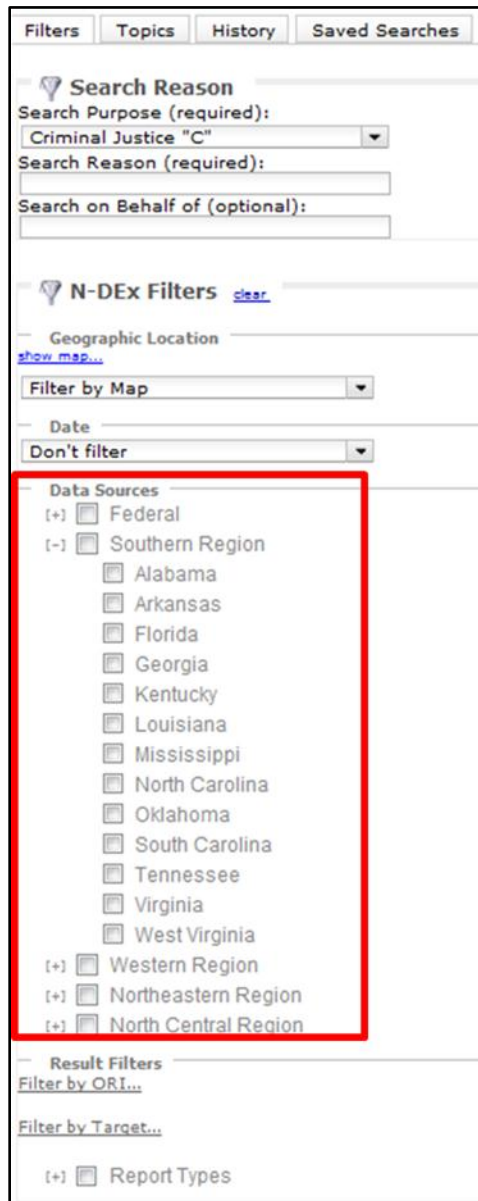
4.2.5 Filters Tab—Data Sources Filters

N-DEX makes numerous data sources available to its users. All users have access to local, state, regional, and tribal contributing agency(ies) data and to data from the federal agencies comprising DOJ's investigative components: the Bureau of Alcohol, Tobacco, Firearms and Explosives; the Drug Enforcement Administration; the Federal Bureau of Investigation; the U.S. Marshal's Service; and the Bureau of Prisons.

N-DEX searches all data sources as a default (no boxes checked under Data Sources filters). Users can elect to filter searches by one or more specific data sources.

- a. The Expand symbol  or Collapse symbol  is located beside each Data Sources heading in the N-DEx Filters area. Users can click the Expand symbol to show options under each data source heading or click the Collapse symbol which closes the options so only the data sources heading is viewable (see Figure 4-14 Data Sources Filter, which illustrates the Southern Region Data Source heading expanded).
- b. The user may choose all options under a data source heading by checking the box beside the heading name(s). For instance, if the Southern Region box is checked, search results will be returned that are associated with all states comprising the region.

The user may expand any data source(s) heading and check the box beside the desired state(s) and/or federal agency(ies). For instance, the user might expand the Federal data source and elect to filter search results by FBI Case Files.



The screenshot displays the 'N-DEx Filters' section of a web application. It includes tabs for 'Filters', 'Topics', 'History', and 'Saved Searches'. The 'Search Reason' section has fields for 'Search Purpose (required):' (set to 'Criminal Justice "C"'), 'Search Reason (required):', and 'Search on Behalf of (optional):'. Below this is the 'N-DEx Filters' section with a 'clear' link. It contains 'Geographic Location' with a 'show map...' link and a 'Filter by Map' dropdown, and a 'Date' section with a 'Don't filter' dropdown. The 'Data Sources' section is expanded, showing a list of regions and states, each with a checkbox. The 'Southern Region' is selected, and its states (Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Oklahoma, South Carolina, Tennessee, Virginia, West Virginia) are listed below it. Other regions like 'Western Region', 'Northeastern Region', and 'North Central Region' are also listed with expand/collapse icons. At the bottom, there are 'Result Filters' for 'Filter by ORI...' and 'Filter by Target...', and a 'Report Types' section with a checkbox.

Figure 4-14 Data Sources Filter

4.2.6 Filters Tab—Result Filters

The N-DEx defaults to searching all records when no filters are checked by the user and all types of search results will be returned. To refine a search to return a specific type of record results, the user can select a Result Filters option. There are three types of Result Filters: by ORI Number, by Target, and by Report Types (see Figure 4-15 Result Filters). Users can narrow their search by utilizing any of the Result Filters to return search results specific to an agency (ORI), a specific targeted entity (e.g., people, vehicles, locations, crime characteristics, etc.), or a specific type of record (e.g., arrest, booking, federal case, holding, etc., reports).

The screenshot shows the 'Filters' tab in the N-DEx interface. It includes sections for 'Search Reason', 'N-DEx Filters', 'Geographic Location', 'Date', 'Data Sources', 'Result Filters', and 'External Data Sources'. The 'Result Filters' section is highlighted with a red box and contains the following options:

- [Filter by ORI...](#)
- [Filter by Target...](#)
- ☐ Report Types

Figure 4-15 Result Filters

4.2.7 Filter by ORI Number

The user can narrow a search to a specific ORI, which is a nine-character, alpha/numeric identifier assigned to an agency to uniquely identify it in transactions with the FBI/N-DEx. A user can click on the Filter by ORI... link in the Result Filters and enter a specific agency ORI number (see Figure 4-16 Results Filter by ORI). When the user inputs a valid ORI, N-DEx will refine the search and return results matching the search criteria associated with that agency's records. To clear the ORI number from the field, the user must click the [Remove] link [Enter ORI: \[remove\]](#). The Clear link [clear](#) does not clear the filter.

Filters Topics History Saved Searches

Search Reason

Search Purpose (required):
Criminal Justice "C"

Search Reason (required):

Search on Behalf of (optional):

N-DEX Filters [clear](#)

Geographic Location
[show map...](#)
Don't filter

Date
Don't filter

Data Sources

- ☐ Federal
- ☐ Southern Region
- ☐ Western Region
- ☐ Northeastern Region
- ☐ North Central Region

Result Filters

Enter ORI: [\[remove\]](#)

[Filter by Target...](#)

- ☐ Report Types

External Data Sources

- ☐ Leveraged Data Sources

Figure 4-16 Results Filter by ORI

4.2.8 Filter by Target

Both structured (a specific form field such as a name) data and unstructured (a free text field such as a narrative) data are searched by N-DEX in a Simple Search. All target filters are unchecked (system default), thus N-DEX searches all entities and all data in a Simple Search.

The user can narrow a Simple Search by selecting entity-specific content, or a target(s). Targets include entities such as aircraft, boats, cyber-crime, drugs, explosives, firearms, and narrative information. When a user applies the Target filter, the document scope is limited to those sections represented by the selected target(s). The search becomes more precise, adding to the user's search flexibility.

With the Filter by Target, a user can narrow a Simple Search so that results returned are based on a search of the selected entity(ies) while still searching **all** N-DEX data. Users should note this is different from a Targeted Search which returns results that include only the selected entity, however, only searches structured data.

For example, if a user performs a Simple Search using the search term Ford, **without** selecting a targeted filter, N-DEx will return results that include Ford as a person, a location, and so on. However, if a user specifically wants to see Ford as a vehicle, the user can check the box next to Vehicle, thus narrowing the results to those records related to Ford vehicles (see Figure 4-17 Select Targets—Vehicle).

The screenshot displays the N-DEx search interface. On the left, there are sections for 'Search Reason' (with dropdowns for 'Search Purpose (required):' and 'Search Reason (required):', and a text field for 'Search on Behalf of (optional):'), 'N-DEx Filters' (with expand/collapse icons and a 'clear' link), and 'Result Filters' (with a 'Filter by OR/AND' dropdown). The 'Result Filters' section is expanded, showing a list of target categories with checkboxes. The 'Targets' category is selected, and its sub-items are listed: People, Vehicle (checked), Phone Numbers, Locations, Crime Characteristics, Aircraft, Boats, Cyber Crime, Drugs, Explosives, Firearms, Material, Organizations, Property, Securities, Report Info, Other, and Narrative. At the bottom of this list is 'Report Types'. The main search area on the right features a navigation bar with links to Home, People, Vehicles, Phone Numbers, Locations, Crime Characteristics, and more. Below this is the large 'N-DEx' logo. A search input field contains the text 'Ford', which is highlighted with a red box. To the right of the input field are 'Search' and 'Reset' buttons, and a link to 'Advanced Search'.

Figure 4-17 Select Targets—Vehicle

To filter a search by target, the user clicks the Expand button  beside *Targets* to display available target options (see Figure 4-18 Results Filter by Target).

The screenshot shows the N-DEx Filters interface. At the top, there are tabs for 'Filters', 'Topics', 'History', and 'Saved Searches'. Below these is the 'Search Reason' section with fields for 'Search Purpose (required):', 'Search Reason (required):', and 'Search on Behalf of (optional):'. The 'N-DEx Filters' section includes 'Geographic Location' with a 'show map...' link and a 'Don't filter' dropdown, and 'Date' with a 'Don't filter' dropdown. The 'Data Sources' section lists 'Federal', 'Southern Region', 'Western Region', 'Northeastern Region', and 'North Central Region'. The 'Result Filters' section includes an 'Enter ORI:' field with a '[remove]' button. The 'Results Filter by Target' section is highlighted with a red box and contains a 'Select Targets: [remove]' button, a 'Targets' checkbox, and a list of target categories with checkboxes: People, Vehicle, Phone Numbers, Locations, Crime Characteristics, Aircraft, Boats, Cyber Crime, Drugs, Explosives, Firearms, Material, Organizations, Property, Securities, Report Info, Other, and Narrative.

Figure 4-18 Results Filter by Target

The user can select one or more results filter targets by clicking on the box next to the target name. To collapse the list of targets, the user should click on the Collapse button .

4.2.9 Filter by Report Types

N-DEx system data includes numerous report types, including incident, case, arrest booking, and incarceration reports, etc. and returns these various report types in search results. Report Type Result Filters are available to N-DEx users as filters for use in any type of search. By system default, all report filters are unchecked, thus searching all reports.

To filter a search by Report Type(s), the user clicks on the Expand button  to display a menu of Report Type options. By clicking on the box next to the Report Type, the user can select one or more types (see Figure 4-19 Results Filter—Report Types). To collapse the list of Report Types, the user should click on the Collapse button .

The screenshot shows the 'Filters' tab in the N-DEx interface. The 'Search Reason' section includes fields for 'Search Purpose (required)' (set to 'Criminal Justice "C"'), 'Search Reason (required)', and 'Search on Behalf of (optional)'. The 'N-DEx Filters' section includes 'Geographic Location' (set to 'Don't filter'), 'Date' (set to 'Don't filter'), and 'Data Sources' (with checkboxes for Federal, Southern Region, Western Region, Northeastern Region, and North Central Region). The 'Result Filters' section includes 'Filter by ORI...' and 'Filter by Target...'. The 'Report Types' list is expanded, showing a red box around the following options: Arrest Report, Booking Report, Federal Case Report, Federal Subject Report, Holding Report, Incarceration Report, Incident Report, Inmate Phone Report, Service Call Report, Supervised Release Report, Warrant Investigation Report, and Other. The 'External Data Sources' section at the bottom includes a checkbox for 'Leveraged Data Sources'.

Figure 4-19 Results Filter—Report Types

4.2.10 Filters Tab—External Data Sources

Users **may** have access to a Leveraged Data Source as a filter depending upon the portal used to access N-DEx. To access the Leveraged Data Source(s) (DHS and/or the USNCB INTERPOL), the user should click on the Expand icon  to display a list of the available sources. From the list of available sources, the user can select a leveraged data source(s) by clicking on the box next to that source(s) (see Figure 4-20 Leveraged Data Sources).

The screenshot displays the N-DEX search interface with the following sections:

- Filters** (selected tab):
 - Search Reason**:
 - Search Purpose (required): Criminal Justice "C"
 - Search Reason (required):
 - Search on Behalf of (optional):
 - N-DEX Filters** (clear):
 - Geographic Location**: [show map...](#), Don't filter
 - Date**: Don't filter
 - Data Sources**:
 - ☐ Federal
 - ☐ Southern Region
 - ☐ Western Region
 - ☐ Northeastern Region
 - ☐ North Central Region
 - Result Filters**:
 - [Filter by ORI...](#)
 - [Filter by Target...](#)
 - ☐ Report Types
 - External Data Sources** (highlighted with a red box):
 - ☒ Leveraged Data Sources
 - ☐ DHS
 - ☒ USNCB INTERPOL Wash

Figure 4-20 Leveraged Data Sources

4.2.10.1 External Data Source—DHS

The DHS Law Enforcement Information Sharing (LEIS) Service data source draws its available data from two source systems: the Treasury Enforcement Communications System (TECS) database and the Enforcement Case Tracking System (ENFORCE). TECS includes subjects handled by both Immigration and Customs Enforcement (ICE) and Customs and Border Patrol (CBP) during the past ten years. Data include information derived from ICE's investigative case management; intelligence reporting and dissemination; information from the CBP's processing of passengers at air, land, and sea ports of entry; and a watch list for DHS agencies.

ENFORCE permits access to a DHS-shared common database repository for ICE, CBP, and U.S. Citizenship and Immigration Services. This database is used to capture and maintain information related to the arrest, booking, and removal of persons encountered during immigration and criminal law enforcement investigations and operations, and also includes biographic data on the subjects along with their photos.

Within N-DEx, users can only utilize the DHS filter in conjunction with a targeted person, phone number, or location search. When a user selects any of these Targeted Search types, N-DEx automatically checks the DHS leveraged data source as a default. DHS also requires specific search criteria. More information about the required search criteria is available by accessing the Targeted Search Tips link that is on each Targeted Search screen (see Figure 4-28 Targeted Person Search and Figure 4-33 Targeted Search Tips). Details on using the DHS Data Source filter are provided in Section 4.8: Targeted Search for People, Section 4.10: Targeted Telephone Number Search and Section 4.11: Targeted Locations Search.

4.2.10.2 External Data Source—USNCB INTERPOL Wash

N-DEx has partnered with the USNCB, which is the United States' designated representative to the INTERPOL. When a user applies this filter, N-DEx can access international data stored by INTERPOL by conducting structured searches on full names, dates of birth, vehicle information, and passport information. INTERPOL records include nominal records (such as terrorists, wanted subjects, gang members, missing persons, and sex offenders), stolen vehicle records, and stolen or lost passports.

Within N-DEx, users can only utilize the USNCB INTERPOL Wash filter in conjunction with a Targeted Person or Targeted Vehicle search. These search types must contain specific search criteria when utilizing the USNCB INTERPOL Wash filter. More information about the required search criteria is available in the Targeted Search Tips link that is on each Targeted Search screen. Details on using the USNCB INTERPOL Wash filter are provided in Section 4.8: Targeted Search for People and Section 4.9: Targeted Search for Vehicles.

4.3 Search

A user can perform three types of searches within N-DEx:

- a. **Simple Search:** To conduct a Simple Search, the user must enter a word or phrase into the Search field. This type of unfiltered query will search regional and federal data sources, and all documents/records, including narrative data. However, leveraged data sources are not being searched. A Simple Search performs word matching without any context and uses the entire document as the scope of the search. A user can search a name using a Simple Search, however, N-DEx has no idea that the user is in fact searching for a name. The accuracy of a Simple Search increases as more terms are added to the query, or more definition is provided identifying the search criteria as a name; for detailed information, see Section 4.4.1: Name Syntax Simple Search. A Targeted Simple Search is a method by which the user can key word match, but also dictate the scope to specific portions of a record. It can improve precision and add search flexibility. Users can Simple Search specific content, such as an individual's first and/or last name. The user can also look for a specific vehicle, telephone number, etc., by using the Targeted Simple Search Results filter. Simple searches may also be filtered using the filters pane (by geographic location, date, data sources, and by report types) (see Figure 4-21 Simple Search Screen).
- b. **Advanced Search:** If a user selects the Advanced Search link, the display will change to the Advanced Search screen. Advanced Search aides the user with query construction by illustrating how Boolean values can be incorporated in the search query. Such an N-DEx query searches all sources, all documents and all records, including narrative data, and

provides results. The search may be filtered by geographic location, date, data sources and by report types.

- c. **Targeted Search:** A user can conduct a Targeted Search by selecting a specific entity type from the Search links to target data fields specific to that entity type. Therefore, while a Targeted Search can be much more precise, it **does not** search narrative data as part of the query. When a user clicks an Entity type link (People, Vehicles, Phone Numbers, Locations, Crime Characteristics, or More), N-DEx displays a search screen with specific fields relevant to that entity type. Users enter the criteria to be searched into the field(s). Targeted searches may be filtered by using the filters pane (by geographic location, date, data sources, and by report types).

4.4 Performing a Simple Search

To conduct a Simple Search, the user must type a word or phrase into the N-DEx Simple Search field and click on the Search button. N-DEx will search all sources, all documents, and all records, including narrative data (see Figure 4-21 Simple Search Screen).

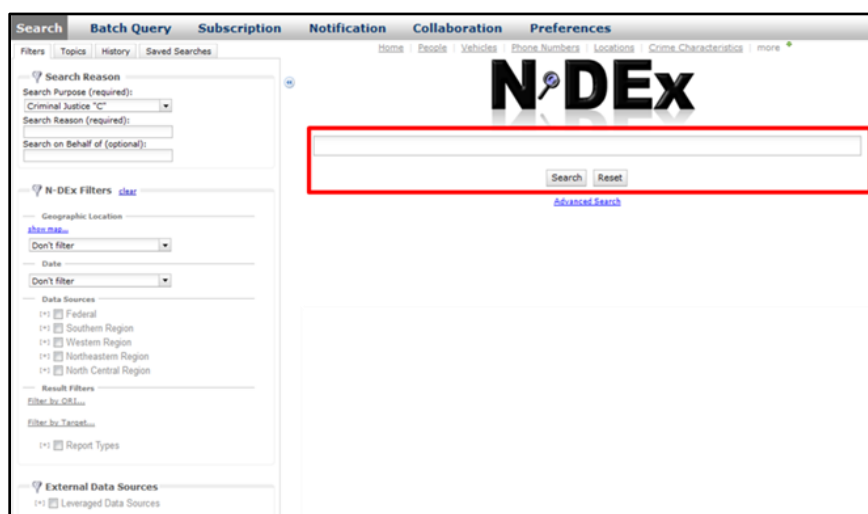


Figure 4-21 Simple Search Screen

4.4.1 Name Syntax Simple Search

N-DEx provides users with an enhanced Simple Search capability to specifically identify keywords within a Simple Search as first (fn:) and last (ln:) names. A user may use the naming convention fn: and ln: singularly or in conjunction with one another. When the user utilizes fn: and ln: in the same query, N-DEx will search the keywords (i.e., Kimberly and Thompson) and will treat this as a search for a person. To perform a Name Syntax Simple Search, the user must enter fn: followed by the individual's first name (without any space between the colon and the name) then ln: followed by the individual's last name (without any space between the colon and the name) in the Simple Search field (see Figure 4-22 Name Syntax Simple Search). The user clicks the Search button to initiate this type of search.

The screenshot shows the N-DEX search interface. At the top, there are navigation links: Home, People, Vehicles, Phone Numbers, Locations, Crime Characteristics, and more. The N-DEX logo is prominently displayed. Below the logo, a search input field contains the text "fn:Kimberly ln:Thompson", which is highlighted with a red box. To the right of the input field are "Search" and "Reset" buttons. Below these buttons is a link for "Advanced Search".

Figure 4-22 Name Syntax Simple Search

For example if a user were to conduct a Simple Search for an individual named Kimberly Thompson without the using the fn: and ln: rules, results of the search would include names of Kimberly Smith or Katie Thompson (or any combination of the words *Kimberly Thompson*). With the addition of fn: (followed by the person's first name) and ln: (followed by a person's last name), N-DEX will search for and return only those records that have that first and last name together (see Figure 4-23 Name Syntax Simple Search Results).

The screenshot shows the N-DEX search results page. At the top, the N-DEX logo is displayed. Below the logo, there is a search bar with the text "Results 1 to 10 of 2344 for person:Kimberly Thompson". Below the search bar, there are navigation links: "Back to search", "Save", "Subscribe", "Link to", "Get via", and "Collaborate". Below the navigation links, there is a table of results. The first result is from "West Virginia N DEX (WV) - Incident Report - 2007-08-13T14:20:00.0Z". The second result is from "New Mexico Division of Corrections (NM) - Supervised Release Report - 1992-06-11". The table contains columns for Name, doc Ref Id, Start Date, Location, and Offense. The first result is for "Mr. Kimberly Z. Thompson Jr. / Mr. Kim Ann Thompson Jr. / Kimmie Thompson" and the second result is for "Name: Kimberly D Thompson".

Figure 4-23 Name Syntax Simple Search Results

When the user conducts a Name Syntax Simple Search using only a name as the search criteria, it is important to note that N-DEX searches only the structured portions of records for a name(s). The value in using name syntax in a Simple Search is to combine a specific name search as part of a broader query with keyword matching through the record document(s). For example, using the search criteria of *fn:Harry ln:Smith burglary knife drug violation* will search the name Harry Smith looking for a person and search words matching burglary or knife or drug or violation. It is important to note that when a user initiates such a query (a specific name as part of a broader query with keyword matching), N-DEX searches the structured portions of records for a name(s), and the narrative sections of the records for those additional query terms. Tips on conducting a search utilizing the name syntax feature, are provided in the Advanced Search Tips (see Figure 4-26 Advanced Search Tips).

Users can employ Name Syntax Simple searching for a person in conjunction with searching for similar names (Probabilistic Name Matching) when fn: (and a first name) and ln: (and a last name) is used as the query criteria. The user must indicate he/she wants to include similar names

as a preference. Detailed information on PNM is provided in Section 4.8.1 Probabilistic Name Matching (PNM)—Search for Similar Names.

4.4.2 Targeted Simple Search

The user can use a Targeted Simple Search to search for specific entities (i.e., people, vehicles, telephone numbers, etc.). To conduct a Targeted Simple Search, users select the desired target entity from the available list (see Figure 4-24 Targeted Simple Search—Results Filter Target). Step-by-step instructions are provided in Section 4.2.6: Filters Tab—Result Filters and in Section 4.2.8: Filter by Target.

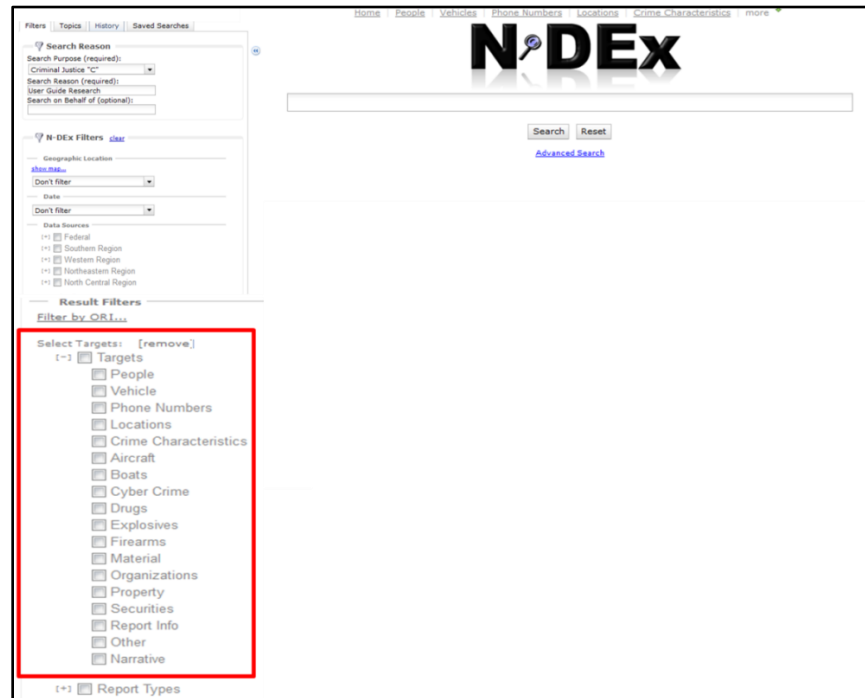


Figure 4-24 Targeted Simple Search—Results Filter Target

4.5 Performing an Advanced Search

A user also has the option to make a search more precise. Choosing the Advanced Search link gives the user extended capabilities to specify that the search results must contain:

- Any of these terms:** specifies any of the terms in the search criteria are in the search result(s).
- This exact wording or phrase:** identifies the exact search criteria wording or phrase is in the search result(s).
- All these terms:** specifies all search terms are in the search result(s).
- Do Not show pages with these words:** excludes certain term(s) or phrase(s) from the search result(s).
- Search for a Person:** specifies that N-DEX search for a person utilizing name fields.

Figure 4-25 Advanced Search Option

When the user clicks the Advanced Search Tip link [Advanced Search Tips...](#), a window displays with advanced search tips (see Figure 4-25 Advanced Search Option). Certain words and characters form Boolean-type and wildcard searches which can help users narrow a search to find exactly what they are looking for (see Figure 4-26 Advanced Search Tips). The Advanced Search Tips window is closed using the Close link [Close](#) or the Close button  in the upper corner of the window, either of which returns the user to the Advanced Search screen.

The Advanced Search window can be closed using the Simple Search link [Simple Search](#) which returns the user to the Simple Search screen. The Reset button [Reset](#) clears the entered search parameters (see Figure 4-25 Advanced Search Option).

Advanced Search Tips

[Close](#)

The following words and characters can help you narrow down your search so you can find exactly what you're looking for:

- Use **quotes** around words to indicate exact phrases.
Example: **"East Harlem Purple Gang"**.
- Use **AND** to indicate terms to be searched together.
Example: **court AND appellate AND Illinois**.
- Use **OR** to indicate alternate terms.
Example: **Chevy OR Lexus**.
- Use the **minus sign** immediately before a word (with no spaces) to indicate items you want to **exclude**:
Example: **"duct tape" OR scissors -knife** would return documents with the terms "duct tape" or "scissors", but not "knife". Hyphenated names like Smith-Jones or words like anti-virus are not counted.
- You can use the wildcard characters ***** and **?**
 - ***** means *anything*. For example, **Ar*** would mean "Arr" followed by anything, and may return documents with terms like "Arrest" or "Arraignment".
 - **?** means *any single character*. For example, **?a*** would mean any single letter followed by "ari", and may return documents with terms like "Karl" or "Carl".
- First Name and Last Name show how users can perform a Targeted Person Search using the keywords **fn:** and **in:**:
 - **fn:** is used to enter a *first name*. For example, **fn:Jim** would mean person[Jim].
 - **in:** is used to enter a *Last name*. For example, **in:Sanders** would mean person[Sanders].
 - **Both fn: and in:** is used to enter a *first name and last name*. For example, **fn:Tom in:Johnson** would mean person[Tom Johnson].
- Note: You may only have 1 First Name and/or 1 Last Name in a simple search

Figure 4-26 Advanced Search Tips

Once the Advanced Search criteria have been entered, users click the Search button to initiate the Advanced Search. On the Search Results screen, the user must click the Back to Search link to return to the Simple Search screen.

When a user performs an Advanced Search using the Any of these terms option, N-DEx provides a search suggestions feature that can be used with the search results. However, the search suggestions capability is not available for other Advanced Search options, specifically queries which contain **AND** or **NOT**, and phrased queries that use quotation marks. Detailed information on Suggested Searches is provided in Section 4.16.2: Search Suggestions.

The user can perform an Advanced Search for a person by entering a first name and/or a last name in the corresponding name fields in the Search for a Person area. Users can employ advanced searching for a person in conjunction with searching for similar names (Probabilistic Name Matching) when either a first name or a last name is used as the query criteria by setting a preference for including similar names. Detailed information on PNM is provided in Section 4.8.1: Probabilistic Name Matching (PNM)—Search for Similar Names.

4.6 Searching Using Acronyms

N-DEx maintains an acronym database which provides a typing shortcut for acronyms. N-DEx will automatically add the expanded word(s) to the search if the acronym is found. A query term will not be targeted for expansion lookup in the acronym database unless it is entered in all uppercase letters.

However, the user should be cautious when an acronym corresponds to a legitimate search word, e.g., WATCH -> “Washington Access to Criminal History,” or WIN-> “Warrant Information Network,” and so on. For example, if a user is looking for a watch thief, the acronym expansion should not be utilized. Therefore, the word watch should be entered rather than the acronym WATCH. Specifying WATCH would result in searching for the expanded acronym, Washington Access to Criminal History and not a timepiece.

4.7 Performing a Targeted Search

A Targeted Search can be much more precise by searching specific structured data relevant to an entity. In N-DEx, an entity is a person or thing that has distinctive properties. N-DEx processes entities from structured data for all entity types. In structured data, context is already given to entities (for instance, Karen is the first name of a female subject). To improve the effectiveness of Targeted searching, N-DEx also extracts entities from unstructured (or narrative data) for two entity types: People and Vehicles. Through entity extraction of unstructured data, N-DEx identifies enough of the entity’s attributes to reasonably conclude it is, in fact, an entity based on analysis of the surrounding narrative text and programmed rules that define the makeup of an entity. N-DEx can then give that entity context. Through Targeted Searching, records matching a user’s search criteria that don’t contain structured data (such as FBI case files) will result. N-DEx can return records where the person who is the subject of the search is only mentioned in the narrative data N-DEx adds further value by making the extracted person and/or vehicle available for entity resolution (a part of an Integrated Person Entity View (IPEV)); for detailed information, see Section 4.16.9: Manage Known Person Search Results).

N-DEx provides the user with the capability to choose a Targeted Search type(s) from the Entity Links at the top of the screen (see Figure 4-27 Targeted Search). Targeted Search entities are:

- a. People.
- b. Vehicles.
- c. Phone Numbers.
- d. Locations.
- e. Crime Characteristics.
- f. More.

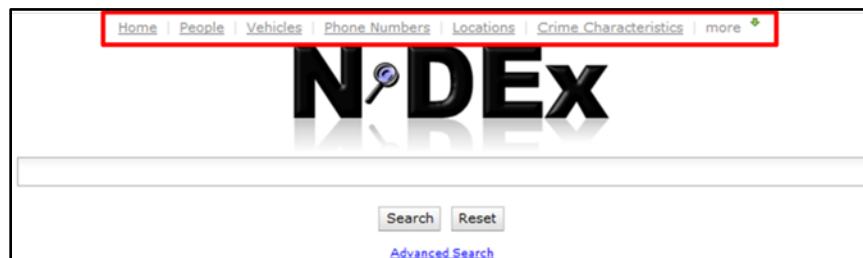


Figure 4-27 Targeted Search

Multiple Targeted searches can be performed simultaneously and information on this feature is detailed in Section 4.14: How to Perform Multiple Targeted Searches.

Each Targeted Search type screen has fields for entry of search criteria, which data fields are applicable to the entity type. All Targeted Search type screens also have an Enter identifying or descriptive keywords field where words or phrases can be entered.

Also, all Targeted Search screens have a Show Advanced Options link which displays Advanced Search fields that a user can utilize as previously covered. To close the Advanced Search option and return to the Targeted Search screen (which will clear any Advanced Search criteria the user has entered), the user must click the Hide Advanced Options link.

Each Targeted Search screen has three symbols and some functionality in common. The Clear link  on a Targeted Search screen clears all search criteria that has been entered in any field(s) and leaves the screen open. The Collapse symbol  minimizes the Targeted Search window from view. The Close symbol  closes a Targeted Search window; however, users should first clear any search criteria entered. The Clear All button  (see Figure 4-28 Targeted Person Search) clears any search criteria entered (even if multiple Targeted Search windows are opened with data entered), closes the Targeted Search window, and returns the user to the Simple Search screen. Search results are covered in detail in Section 4.16: View and Manage Search Results.

4.8 Targeted Search for People

To perform a Targeted Person Search (see Figure 4-28 Targeted Person Search), a user clicks on the People link on the horizontal menu. Results of a person search can include specific incidents related to the individual, any addresses associated with that person, and incarceration and booking data within N-DEX records linked to the individual. Results of a person search include both structured and unstructured (narrative) data in records. Through entity extraction records matching a user's search criteria that don't contain structured data (such as FBI case files), will result and extracted entities returned can be connected. For instance, a person or vehicle mentioned in an FBI case file can be part of an IPEV and connected. A user enters search criteria via the various data fields on the Targeted Person screen. There is no minimum data that must be

entered to conduct a search; however N-DEx can produce the most specific match if more search criteria is entered by the user. If a user enters non-specific person identifiers (i.e., only searching eye color and/or hair color), the results set may be too large to for N-DEx to return.

Targeted Person Search fields are:

- a. Name.
 - i. First Name.
 - ii. Middle Name.
 - iii. Last Name.
- b. Enter an alias or other identifying or descriptive keywords.
- c. Age (Exact number of years, if known).

OR

- d. Age Plus or Minus a specific number of years (creating an age range).
- e. Date of Birth (DOB).
- f. City.
- g. State/U.S. Territory (select from the menu).
- h. Identifiers—Identifying Document types and Identifying Numbers.
- i. Person Roles—Role(s) within N-DEx for persons (i.e., arrest subject, missing person, victim, witness, etc.).
- j. Physical Characteristics—Person characteristics including: height, weight, hair color, eye color, gender, and race/ethnicity.

The screenshot displays the N-DEx web application interface for a Targeted Person Search. At the top, there is a navigation bar with links: Home, People, Vehicles, Phone Numbers, Locations, Crime Characteristics, and more. The main heading is 'N-DEx'. Below the heading, there is a link for 'Targeted Search Tips...'. The search form is titled 'Person' and includes a 'Clear' button. The form fields are as follows:

- Name:** Three input fields for First, Middle, and Last names. A checkbox for 'Include Similar Names' is checked.
- Enter an alias or other identifying or descriptive keywords:** A text input field with a 'Show Advanced Options' link below it.
- Age:** A text input field followed by a range selector (± 0 years).
- DOB:** Three input fields for Month, Day, and Year.
- City:** A text input field.
- State:** A dropdown menu.
- Identifiers:** A section titled 'Match any ID below' with a dropdown menu set to 'Any ID' and a text input field for the value. A '[x]' button is next to the input field. Below this is a '[+] Add another ID...' link.
- Person Roles:** A section with a '+' icon.
- Physical Characteristics:** A section with a '+' icon.

At the bottom of the form, there are 'Search' and 'Clear All' buttons.

Figure 4-28 Targeted Person Search

Search criteria for a Targeted Person Search may include a subject's first, middle and/or last names; an exact age (if known) or age range using the plus or minus a number of years; and/or the subject's date of birth. Addresses in a search for people are associated with that particular person and not an incident or property.

N-DEx searches any of the identifiers (Any ID) as the default setting in a Targeted Person Search. To select a specific identifying document, a user clicks the down arrow to display the menu of identifiers (see Figure 4-29 Targeted Person Search—Identifying Documents Menu).

On the menu when the user clicks an identifier (such as Driver's License), N-DEx places that document name in the Identifiers field and a second field displays where the user selects the issuing state, territory, or entity. The field(s) to the right of the selected identifying document requires entry of specific data or a value appropriate to that document.

The screenshot shows the N-DEx 'Person' search form. The 'Identifiers' section is highlighted with a red box. It contains a dropdown menu labeled 'Any ID' with a list of ID types. The list includes: Any ID, Alien Number, Concealed Weapon Permit ID, DEA Agency ID, Driver's License, FBI Number, NCIC Number, Other ID, Passport, Registered Offender ID, Social Security Number, State ID (SID), and U.S. Marshal Service Fugitive Number. The 'Any ID' option is currently selected. Below the dropdown is a link to '+ Add another ID...'. The form also includes fields for Name (First, Middle, Last), Age, DOB, City, and State, as well as a checkbox for 'Include Similar Names' and a 'Show Advanced Options' link.

Figure 4-29 Targeted Person Search—Identifying Documents Menu

For example, if the identifier chosen is Social Security Number, the user would enter a nine digit number in the Value field. The user may continue adding identifying documents by clicking the Add another ID... link [\[+\] Add another ID...](#).

A user can click on the arrow beside Person Roles to expand the screen to display the roles a person entity can have in N-DEx and narrow a search to one or more specific roles (such as witness or victim) by clicking an individual role(s) or clicking the Select All button [Select All](#) to check all roles (see Figure 4-30 Targeted Person Search—Person Roles). The Select None button [Select None](#) or the Reset button [Reset](#) clears any/all selections.

Person [clear] [X]

Name:
First Middle Last

☒ **Include Similar Names**

Enter an alias or other identifying or descriptive keywords :

[Show Advanced Options](#)

Age: ± **years** **DOB:**
mm dd yyyy

City: **State:**

Identifiers: Match any ID below:
 [x]
ID Type Value

[+] Add another ID...

Person Roles ▾

Select All Select None Reset

☐ NO ROLE ASSIGNED	☐ ARREST SUBJECT	☐ ENFORCEMENT OFFICIAL
☐ JUDICIAL OFFICIAL	☐ LESSEE	☐ MISSING PERSON
☐ OTHER INVOLVED PERSON	☐ REGISTERED OFFENDER	☐ RESOURCE
☐ SUBJECT	☐ VICTIM	☐ WITNESS

Physical Characteristics ▲

Figure 4-30 Targeted Person Search—Person Roles

A user can click on the arrow beside Physical Characteristics to expand the screen where person physical characteristics such as height, weight, hair color, eye color, gender, and race/ethnicity can be entered (see Figure 4-31 Targeted Person Search—Physical Characteristics). A user can enter a person's exact height (in feet and inches) or use a height range by entering feet and inches and the plus or minus inches feature. A user can enter a person's exact weight (in pounds) or use a weight range by entering pounds and the plus or minus pounds feature. Also, N-DEX defaults to searching any hair color, any eye color, any gender, and/or any race or ethnicity. To enter specific search criteria in any physical characteristics field, a user types the criteria into the corresponding field(s); however, entering non-specific person identifiers (i.e., only searching eye color and/or hair color) may produce a results set too large for N-DEX to return.

A field is available where a user can enter an alias name or other identifying or descriptive keywords. In the Enter an alias or other identifying or descriptive keywords field, users can enter words or phrases that might further describe the person being searched.

Also, an option exists for a user to perform an Advanced Targeted Search for any person entity by clicking the Show Advanced Options link [Show Advanced Options](#) which displays advanced search fields. Advanced targeted searching is explained in detail in Section 4.15: Show Advanced Targeted Search Options.

The screenshot shows a web form titled "Person" with a "clear" button and window controls. The form includes fields for Name (First, Middle, Last), a checkbox for "Include Similar Names", and a text field for "Enter an alias or other identifying or descriptive keywords". Below these are fields for Age (with a +/- spinner), City, State (dropdown), and DOB (mm, dd, yyyy). An "Identifiers" section allows matching any ID with a dropdown and text input. A "Person Roles" section is partially visible. The "Physical Characteristics" section, highlighted with a red box, contains fields for Height (ft., in., +/- spinner), Weight (lbs., +/- spinner), Hair Color, Eye Color, Gender, and Race/Ethnicity.

Figure 4-31 Targeted Person Search—Physical Characteristics

4.8.1 Probabilistic Name Matching (PNM)—Search for Similar Names

The Probabilistic Name Matching (PNM) capability improves the recall of name searches and overcomes common misspelling of names and the use of nicknames. During a Targeted Person search, N-DEx enables users to search person names with more precision by including similar names in the query (the default setting) and will locate names that have been transposed. However, a user can uncheck this feature to allow only exact name matching on a search-by-search basis. Further, users can elect not to have PNM searched by default for every Targeted Person search by changing the preference for PNM on the Preferences Tab. For detailed information on setting the Include Similar Names filter; see instructions in Section 2.4.3: Preferences Tab—Search Filters Sub-Tab.

To perform a Targeted Person Search using PNM, the user clicks on the People link. N-DEx defaults to searching for similar names and the Include Similar Names box is, therefore, checked (see Figure 4-32 Search for Similar Names).

The screenshot shows the N-DEx application interface. At the top, there is a navigation bar with links: Home, People (highlighted with a red box), Vehicles, Phone Numbers, Locations, Crime Characteristics, and more. Below this is the N-DEx logo. The main content area is titled 'Person' and contains a search form. The 'Name' section has three input fields for First, Middle, and Last names. To the right of these fields is a checkbox labeled 'Include Similar Names', which is checked and highlighted with a red box. Below the name fields is a text input for 'Enter an alias or other identifying or descriptive keywords :'. There is a 'Show Advanced Options' link. The 'Age' section has a text input for age and a 'years' label. The 'DOB' section has three input fields for month (mm), day (dd), and year (yyyy). The 'City' and 'State' sections have text and dropdown inputs respectively. Below these is an 'Identifiers' section with a label 'Match any ID below:' and a table with columns 'Any ID' (a dropdown) and 'Value' (a text input). There is a '[x]' button next to the 'Value' input and a '[+] Add another ID...' link. At the bottom of the form are 'Person Roles' and 'Physical Characteristics' sections, each with an expand/collapse arrow. At the very bottom are 'Search' and 'Clear All' buttons.

Figure 4-32 Search for Similar Names

The user enters the name to be searched along with any additional information and clicks the Search button. When the Include Similar Names box is checked, search results will include records containing the name entered by the user as well as records containing names similar to the one entered by the user. If the user unchecks the box prior to initiating the search, N-DEx will only return results that exactly match the entered name.

PNM functionality is enabled when the user conducts:

- a. A Simple search for a person using name syntax (i.e., by entering fn: and first name, and entering ln: and a last name); for detailed instructions see Section 4.4.1: Name Syntax Simple Search.

AND

- b. An Advanced Search for a person (i.e. entering a first name or last name in the Search for a Person name fields; for detailed instructions see Section 4.5: Performing an Advanced Search.

PNM functionality is disabled when the user:

- a. Unchecks the Search for Similar Names box on the Targeted Person Search screen or using the Preferences Tab, Search Filters sub-tab.
- b. Submits a name search with quotation marks around any named component.
- c. Submits a search using a wildcard with any name component.

AND/OR

- d. Submits a name query with all parts consisting of less than two characters.

Users are reminded that when PNM functionality is used, it does not apply to leveraged data sources.

4.8.2 Targeted People Search—DHS Leveraged Data Source

N-DEx portal users have access to the DHS Leveraged Data Source. DHS records are accessible only via a targeted person, phone number, or locations search. For all other search types, the DHS filter is inactive and can't be selected. When a user selects a Targeted Person Search, on the Filters Tab, N-DEx expands the Leveraged Data Sources filter and by default checks the DHS box. If a user doesn't wish to search DHS data when performing a Targeted Person Search, then he/she should uncheck the data source.

Additionally to search the DHS data source, the user must utilize certain search criteria. Tips defining DHS search rules are available via the Targeted Search Tips link located on the Person Targeted Search screen (see Figure 4-28 Targeted Person Search and Figure 4-33 Targeted Search Tips). To exit the Targeted Search Tips window, the user must click the Close button .

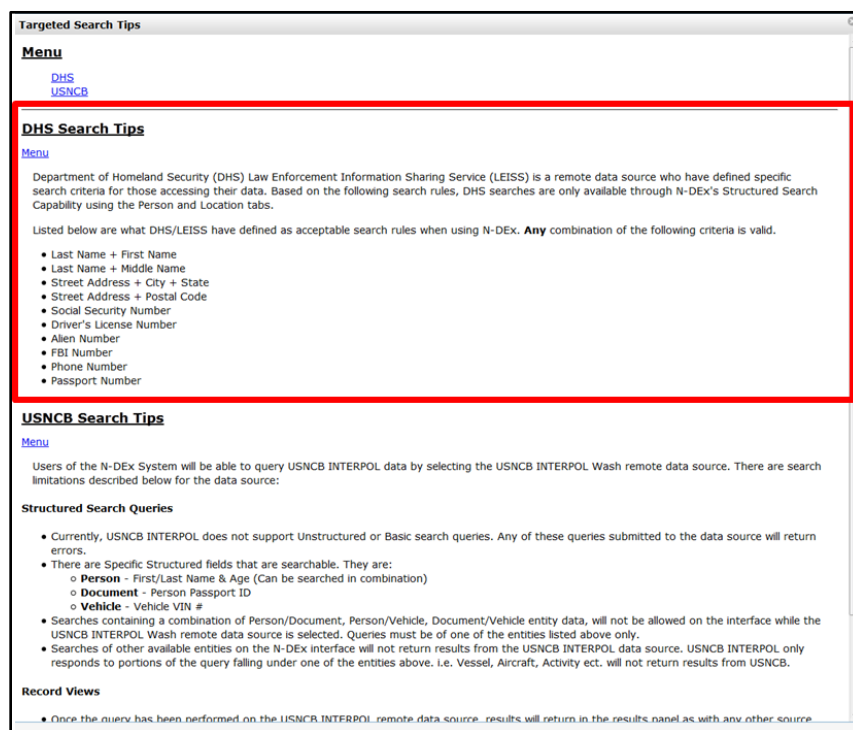


Figure 4-33 Targeted Search Tips

To start the search, the user clicks the Search button. N-DEx denotes the number of DHS results beside the Data Source link. The user should click on the DHS to display the results (see Figure 4-55 DHS Leveraged Data Source Search Results). If an icon  appears beside the Data Source link, DHS records are not immediately accessible. Users should attempt the search later (see Figure 4-34 DHS Results Not Currently Accessible). Section 4.16.5: DHS Record Results contains additional information regarding search results returned from the DHS data source.



Figure 4-34 DHS Results Not Currently Accessible

4.8.3 Targeted People Search—USNCB INTERPOL

N-DEx portal users have access to the USNCB INTERPOL Leveraged Data Source via Targeted People and/or Targeted Vehicle searches. For all other search types, the USNCB INTERPOL filter is inactive and can't be selected. Users can also search passport information contained in INTERPOL through the Identifiers area on the Targeted Person screen; for detailed instructions on searching for identifiers (such as a passport number), see Section 4.8: Targeted Search for People.

When a user selects a Targeted Person Search and wishes to include INTERPOL data, on the Filters Tab, he/she should expand the Leveraged Data Sources filter using the Expand symbol  and check the USNCB INTERPOL Wash box (see Figure 4-35 Leveraged Data Sources—USNCB INTERPOL Wash).

The screenshot displays the N-DEX search interface with the following sections:

- Filters** (selected tab): Topics, History, Saved Searches
- Search Reason**:
 - Search Purpose (required): Criminal Justice "C"
 - Search Reason (required):
 - Search on Behalf of (optional):
- N-DEX Filters** (clear):
 - Geographic Location**:
 - show map...
 - Don't filter
 - Date**:
 - Don't filter
 - Data Sources**:
 - [+] ☐ Federal
 - [+] ☐ Southern Region
 - [+] ☐ Western Region
 - [+] ☐ Northeastern Region
 - [+] ☐ North Central Region
 - Result Filters**:
 - Filter by ORI...
 - Filter by Target...
 - [+] ☐ Report Types
 - External Data Sources** (highlighted with a red box):
 - [+] ☒ Leveraged Data Sources
 - ☐ DHS
 - ☒ USNCB INTERPOL Wash

Figure 4-35 Leveraged Data Sources—USNCB INTERPOL Wash

Additionally to search the INTERPOL data source, the user must utilize certain search criteria. INTERPOL search rules can be accessed via the Targeted Search Tips link located on the Person Targeted Search screen (see Figure 4-28 Targeted Person Search and Figure 4-36 Targeted Search Tips for USNCB INTERPOL). To exit the window, the user should scroll to the top of the window and click on the Close button  in the upper right corner.

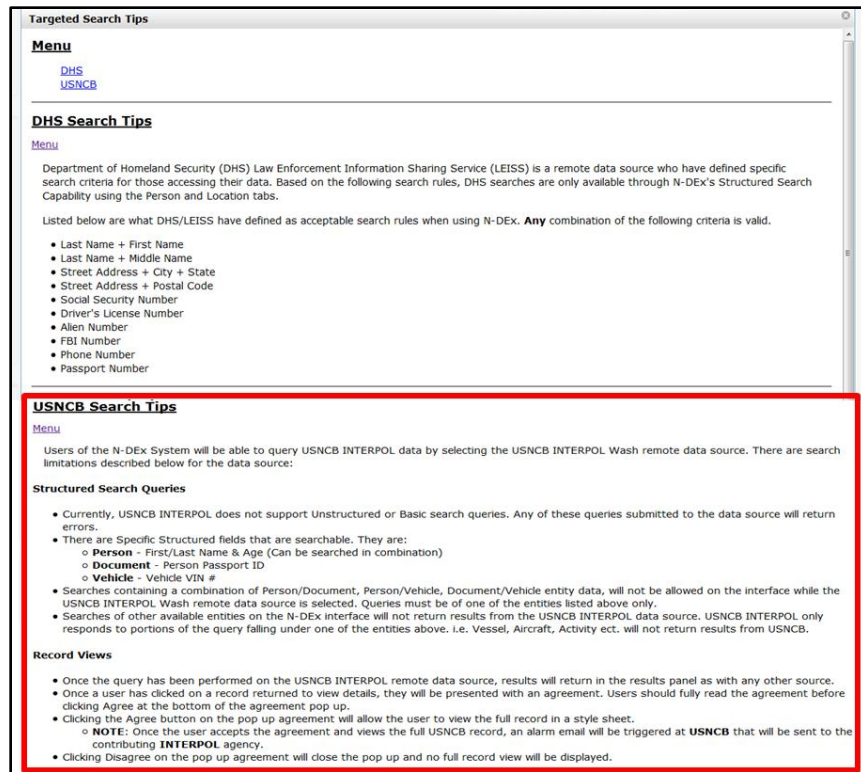


Figure 4-36 Targeted Search Tips for USNCB INTERPOL

On the Targeted Person screen, the user can search first, middle, and last names and age or date of birth. Users should note when searching the USNCB INTERPOL leveraged data source, the first name, last name, **and** date of birth fields are mandatory. However, in place of the DOB, user can substitute an exact age **or** age range with the name. To search a passport number, the user should click on the drop down arrow in the Identifiers portion of the screen, select Passport as the ID Type, and enter the passport number in the Value box (see Figure 4-37 Targeted Person Search—Identifiers). The Person Passport ID number should be searched without any other search criteria (i.e., person name and DOB should not be included). While users can search a combination of first/last names and age, other combinations, such as person/document, cannot be searched.

Figure 4-37 Targeted Person Search—Identifiers

The user clicks the Search button to start the search. N-DEX denotes the number of USNCB INTERPOL results beside the Data Source link. The user should click on the USNCB INTERPOL Wash link to display the results (see Figure 4-38 USNCB INTERPOL Results Link). If INTERPOL records are not immediately accessible an icon  is displayed beside the Data Source link. Users should attempt the search later. An Error icon  beside the Data Source link displays if a search error occurs. The user should click on the icon and follow information provided in order to resolve the issue.

Figure 4-38 USNCB INTERPOL Results Link

Search results are covered in detail in Section 4.16: View and Manage Search Results and Section 4.16.6: USNCB INTERPOL Record Results.

4.9 Targeted Search for Vehicles

To perform a search targeting vehicles, a user clicks on the Vehicles link. Results of a vehicle search can include specific incidents related to that vehicle from both structured and unstructured (narrative) data in records. Through entity extraction, records matching a user's search criteria which don't contain structured data (such as FBI case files) will result.

A user must enter search criteria via the various data fields on the Vehicle screen. There is no minimum search criterion that a user must enter to conduct a targeted vehicle search (except when the user searches the USNCB INTERPOL leveraged data source), however, as much data as possible should be input to obtain the best match (see Figure 4-39 Targeted Vehicle Search) including:

- a. Year.
- b. Make.
- c. Color.
- d. Style (system defaults to Any Style; a style can be selected from the menu).
- e. Model.
- f. Plate Number.
- g. VIN (Vehicle Identification Number).
- h. Reg. State (the State/U.S. Territory where the vehicle is registered; can be selected from the menu).

After entering search criteria, a user initiates a Targeted Search of N-DEx for a vehicle by clicking the Search button. Search results are covered in detail in Section 4.16.6: USNCB INTERPOL Record Results.

Also, an option exists for a user to perform an Advanced Targeted Search for any vehicle entity by clicking the Show Advanced Options link to display advanced search fields. Advanced Targeted Searching is explained in detail in Section 4.15: Show Advanced Targeted Search Options.

4.9.1 Targeted Vehicle Search—USNCB INTERPOL

N-DEx portal users have access to the USNCB INTERPOL Leveraged Data Source via Targeted People and/or Targeted Vehicle searches. For all other search types, the USNCB INTERPOL filter is inactive and can't be selected. When a user selects a Targeted Vehicle Search and wishes to include INTERPOL data, on the Filters Tab, he/she should expand the Leveraged Data Sources filter using the Expand symbol  and check the USNCB INTERPOL Wash box (see Figure 4-35 Leveraged Data Sources—USNCB INTERPOL Wash). Additionally, to search the INTERPOL data source, the user must utilize certain search criteria, specifically, the VIN. INTERPOL search rules are defined on and accessible via the Targeted Search Tips link located on the Vehicle Targeted Search screen (see Figure 4-39 Targeted Vehicle Search and Figure 4-36 Targeted Search Tips for USNCB INTERPOL).

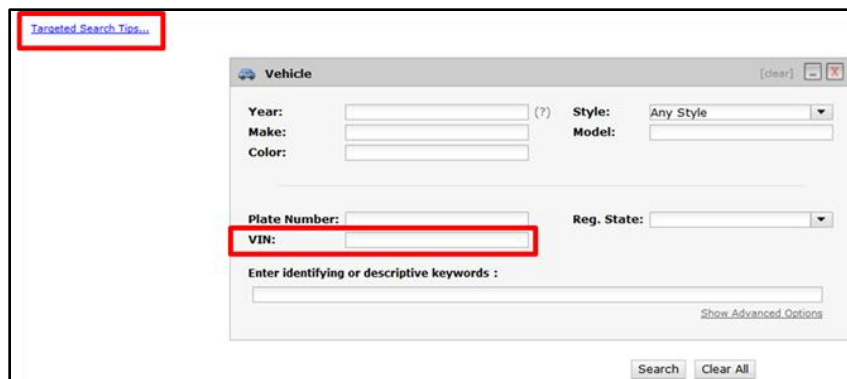


Figure 4-39 Targeted Vehicle Search

On the Targeted Vehicle screen, the user should enter the vehicle identification number in the VIN field. The VIN number should be searched without any other search criteria (i.e., vehicle make and model should not be included). The VIN field is a free text field; the user can insert spaces and special characters into the field. For searches of INTERPOL, users cannot search combinations such as person/vehicle.

The user should click the Search button to start the search. N-DEx denotes the number of USNCB INTERPOL results beside the Data Source link. The user should click on the USNCB INTERPOL Wash link to display the results (see Figure 4-38 USNCB INTERPOL Results Link). If INTERPOL records are not immediately accessible an icon  is displayed beside the Data Source link. Users should attempt the search later. An Error icon  beside the Data Source link displays if a search error occurs. The user should click on the icon and follow information provided in order to resolve the issue. Search results are covered in detail in Section 4.16: View and Manage Search Results and Section 4.16.6: USNCB INTERPOL Record Results.

4.10 Targeted Telephone Number Search

On the horizontal menu, a user clicks on the Phone Numbers link to perform a telephone number search which will result in records associated with that number. A telephone number entity search **does not search** narrative data and query results match only structured data in records.



The screenshot displays the N-DEx web application interface. At the top, a navigation bar includes links for Home, People, Vehicles, Phone Numbers (highlighted with a red box), Locations, Crime Characteristics, and a 'more' link. Below the navigation bar is the N-DEx logo. The main content area features a 'Telephone Number' search form, which is outlined with a red box. The form includes a 'Type' dropdown menu set to 'Any Type', a 'Telephone Number' section with four input fields (country code, area code, number, and extension) separated by symbols (+, (,), and x), and a text field for 'Enter identifying or descriptive keywords'. A 'Show Advanced Options' link is located below the keywords field. At the bottom of the form are 'Search' and 'Clear All' buttons.

Figure 4-40 Targeted Telephone Number Search

There is no minimum search criterion that a user must enter to conduct a targeted telephone number search (excepting when searching the DHS Leveraged Data Source); however, the user should input as much data as possible to obtain the best match (see Figure 4-40 Targeted Telephone Number Search) including:

- a. Type (defaults to Any Type but a phone type can be selected from the menu).
- b. Telephone Number.
 - i. Country Code (a short alphabetic or numeric code that represents a given country for communications purposes).
 - ii. Area Code.
 - iii. Number (typically a seven-digit number).
 - iv. Extension number.

N-DEx portal users have access to the DHS Leveraged Data Source. DHS records are accessible only via a targeted person, phone number, or locations search. For all other search types, the DHS filter is inactive and can't be selected. When a user selects a Targeted Phone Numbers search, on the Filters Tab, N-DEx expands the Leveraged Data Sources filter and by default checks the DHS box. If a user doesn't wish to search DHS data when performing a Targeted Telephone Phone Numbers Search, then he/she should uncheck the data source.

Additionally, to search the DHS data source, the user must utilize certain search criteria. DHS search rules are defined on and accessible via the Targeted Search Tips link located on the Phone Numbers Targeted Search screen (see Figure 4-33 Targeted Search Tips).

After entering search criterion, a user initiates a targeted vehicle search by clicking the Search button. Search results are covered in detail in Section 4.16: View and Manage Search Results and Section 4.16.5: DHS Record Results.

Also, an option exists for a user to perform an Advanced Targeted Search for any telephone number by clicking the Show Advanced Options link to display advanced search fields. Advanced Targeted searching is explained in detail in Section 4.15: Show Advanced Targeted Search Options.

4.11 Targeted Locations Search

On the horizontal menu, the user clicks on the Locations link to perform a Targeted Locations search which will result in incidents related to an address. A locations entity search **does not** search narrative data and query results match only structured data in records.



Figure 4-41 Targeted Locations Search

There is no minimum search criterion the user must enter to conduct a Targeted Locations search (except when searching the DHS leveraged data source for a location); however, as much data as possible should be input to obtain the best match (see Figure 4-41 Targeted Locations Search) including:

- a. Street Address.
- b. City.

- c. County.
- d. State/U.S. Territory (can be selected from the menu).
- e. Postal Code (commonly known as Zip Code).

N-DEx portal users have access to the DHS Leveraged Data Source. DHS records are accessible only via Targeted People and/or Targeted Locations searches. For all other search types, the DHS filter is inactive and can't be selected. When a user selects a Targeted Locations Search, on the Filters Tab, N-DEx expands the Leveraged Data Sources filter and by default and checks the DHS box. If a user doesn't wish to search DHS data when performing a targeted location search, then he/she should uncheck the data source.

Additionally, to search the DHS data source, the user must utilize certain search criteria. DHS search rules are defined on and accessible via the Targeted Search Tips link located on the Location Targeted Search screen.

When searching for a location, the user may also enter location information in other entity searches such as:

- a. A location search returns all incidents associated with that address, such as businesses and/or crime scenes.
- b. A people search with a City/State would return people associated with that location.
- c. A Crime Characteristics search with a location type would return incidents associated with the crime.

Also, an option exists for a user to perform an Advanced Targeted Search for any location by clicking the Show Advanced Options link to display advanced search fields. Advanced Targeted searching is explained in detail in Section 4.15: Show Advanced Targeted Search Options.

After entering search query data, a user initiates a targeted vehicle search by clicking the Search button. Search results are covered in detail in Section 4.16: View and Manage Search Results.

4.12 Targeted Crime Characteristics Search

Results of a Crime Characteristics search can include specific incidents related to one or more crime characteristics which best match the search terms. A crime characteristics entity search **does not** search narrative data and query results match only structured data in records. To perform a Targeted Crime Characteristics search, a user clicks on the Crime Characteristics link on the horizontal menu (see Figure 4-42 Targeted Crime Characteristics Search).

The screenshot displays the N-DEx web application interface. At the top, a horizontal navigation menu includes links for Home, People, Vehicles, Phone Numbers, Locations, and Crime Characteristics (which is highlighted with a red box). Below the menu is the N-DEx logo. A search form titled 'Crime' is prominently displayed, featuring four input fields: 'Crime Type', 'Modus Operandi', 'Location Type', and 'Characteristics'. Below these fields is a larger text area labeled 'Enter identifying or descriptive keywords' and a link for 'Show Advanced Options'. At the bottom of the form are 'Search' and 'Clear All' buttons.

Figure 4-42 Targeted Crime Characteristics Search

There is no minimum search criterion the user must enter to conduct a targeted Crime Characteristics search; however, the user should input as much data as possible in order to obtain the best match (see Figure 4-42 Targeted Crime Characteristics Search) including:

- a. Crime Type.
- b. Modus Operandi (commonly known as MO).
- c. Location Type.
- d. Characteristics.

Also, an option exists for a user to perform an Advanced Targeted Search for any person entity by clicking on the Show Advanced Options link to display advanced search fields. Advanced Targeted searching is explained in detail in Section 4.15: Show Advanced Targeted Search Options.

After entering search criteria, a user initiates a targeted crime characteristics search by clicking the Search button. Search results are covered in detail in Section 4.16: View and Manage Search Results.

4.13 “More” Targeted Searches

N-DEx provides more entities for Targeted searches. To display a menu of the additional Targeted Search entities, the user must click on the More link on the horizontal menu (see Figure 4-43 More Targeted Searches). If a user clicks on any of the entities listed, a Targeted Search screen with data fields appropriate to that entity displays.

More Targeted Entities include:

- a. Aircraft.
- b. Boats.
- c. Cyber Crime.
- d. Drugs.
- e. Explosives.
- f. Firearms.
- g. Material.
- h. Organizations.

- i. Property.
- j. Securities.



Figure 4-43 More Targeted Searches

Any search for an entity under the More menu **does not** search narrative data and query results match only structured data in records. There is no minimum search criterion the user must enter to conduct a targeted Search for any entity listed under the More link; however, the user should input as much data as possible in order to obtain the best match (see Figure 4-44 More Targeted Search Cyber Crime).

Also, users can elect to perform an Advanced Targeted Search for any entity included under More clicking the Show Advanced Options link to display advanced search fields. Advanced Targeted searching is explained in detail in Section 4.15: Show Advanced Targeted Search Options.

The user clicks the Search button to initiate a Targeted Search for any entity selected from the More link. Search results are covered in detail in Section 4.16: View and Manage Search Results.

 The screenshot shows the N-DEX 'Cyber Crime' search form. The form is titled 'Cyber Crime' and has a '[clear]' button. It contains several input fields for search criteria: Make, Model, Year(s) of Manufacture (with a hint 'single year or year range, e.g., 2002-2004'), Serial Number, ESN (with a hint 'Electronic Serial Number'), Stored Text, IMEI (with a hint 'International Mobile Equipment Identity'), Hardware Address, Email Address, Instant Messenger Client Name, Instant Messenger Screen ID, and Network Address (with a hint 'IP address or URL'). Below these fields is a text area for 'Enter identifying or descriptive keywords :'. A 'Show Advanced Options' link is located at the bottom right of the form. At the very bottom of the page, there are 'Search' and 'Clear All' buttons.

Figure 4-44 More Targeted Search Cyber Crime

4.14 How to Perform Multiple Targeted Searches

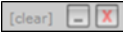
Users have an option to target and simultaneously search multiple entities. A user initiates multiple targeted searches by clicking one entity type link, entering search criteria in the data field(s), and then clicking a different entity type link. For instance, a user might elect to perform

simultaneous targeted person and targeted vehicle searches. If the user clicks the People link, enters data in the Person Targeted Search screen, then clicks the Vehicles link, the Vehicles Targeted Search screen also displays for completion.

When a user chooses an additional entity, N-DEx expands the search using that entity and becomes more specific by searching for additional people, vehicles, phone numbers, locations, crime characteristics, or more targeted search criteria. The user may continue to build additional targeted entity searches until his/her query is complete. Users must be aware when searching multiple targets, however, N-DEx searches “**or**” between the entities, not “**and**” between the entities. For example, the system searches for the person **or** the vehicle, not for the person **and** the vehicle.

4.15 Show Advanced Targeted Search Options

On each Targeted Search entity type, N-DEx provides an Advanced Targeted Search option which achieves more specificity in the search. The user has an option to further refine a target search by: Any of These Terms, This Exact Wording or Phrase, All of These Terms, and/or Do Not Show Pages with These Terms. For additional information on how advanced searching see Section 4.5: Performing an Advanced Search. To perform an Advanced Targeted Search, on any targeted entity screen, the user clicks on the Show Advanced Options link which displays additional search fields. A user should complete targeted search fields, including any Advanced Search option field(s) desired, and click the Search button to initiate the search.

To clear any search criteria entered in the search fields (including Advanced Search options) and remain in the Targeted Search window, the user must click [Clear]  on the window's tool bar. To clear any search criteria entered in the Search fields including Advanced Search options) and return to the Simple Search screen, the user must click the Clear All button . To clear criteria entered into any Advanced Search Options fields and collapse those fields, the user must click the Hide Advanced Options link.

4.16 View and Manage Search Results

The Search Results page contains many key features (see Figure 4-45 Search Results Screen). From the initial results screen the user may choose to:

- a. View individual detailed record(s) content.
- b. Save the parameters of the search.
- c. Subscribe to the search to be notified if a new record matches the search record, or if another user searches for the same criteria; for detailed information see Section 7: Subscription/Notification.
- d. Link Visualize the relationships between entities for one or more selected records; see detailed instructions in Section 6: Visualization Features (Link Visualization and Geo Visualization).
- e. Geo Visualize one or more selected records and/or entities on a map; see detailed instructions in Section 6: Visualization Features (Link Visualization and Geo Visualization).
- f. Send search result(s) to the user's N-DEx collaboration site to share in a joint work effort with selected members or groups; see detailed instructions in Section: 8 Collaboration.

- g. Retrieve previous searches; see detailed instructions in Section 4.19: Search Screen Tabs—History Tab.
- h. Display a list of previous saved searches that can be selected for re-display; see detailed instructions in Section 4.18: Search Screen Tabs— Saved Searches Tab.
- i. Return to the previous search screen (via the Back to Search link).



Figure 4-45 Search Results Screen

4.16.1 After Executing a Search

After executing any search (see Figure 4-45 Search Results Screen):

- a. N-DEx indicates how many records are available from the search for an entity(ies), word(s), or phrase(s) on the results screen.
- b. Users can quickly navigate through the search results using paging features. To go to the previous page of results, users can click the Previous Page (prev) link; to move to the first page of the results, users click the First Page link (1st page); and to go to the next page of the results, users can click the Next Page link (next). Or, users can elect to go to a specific page number by entering that number in the Go to Page field and clicking the Go button. For convenience when multiple pages of results display, N-DEx locates all of the paging features at both the top and bottom of the results page(s). Users can select all of the record results, if needed, when using the LinkVis, GeoVis, and/or Collaboration buttons by clicking the Select All link. However, users are cautioned in selecting a large number of records which could impact system performance and/or be too big to display. If all record results are selected, the user must click the Select None link to remove all selections, leaving no record results checked. Users can also individually select records by checking the box beside the desired record.
- c. N-DEx defaults to displaying ten returned records per page for the user's convenience in scrolling through and viewing. To increase the amount of records displayed on each page, users click the down arrow in the Show 10 Results per Page area to display menu options and then selects a number. Or, users can indicate their preference for a different number of results to be displayed for every search by using the Preferences Tab; for detailed information see Section 2.4.3: Preferences Tab—Search Filters Sub-Tab.

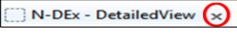
- d. N-DEx displays a list of results identifying each record by: data owner, type of record, and other record identifiers (e.g., date and case number). This information makes up the record header (see Figure 4-46 Record Results—Record Header, Record Summary, and View Narrative Link). If a user clicks on the Record Header link, N-DEx displays the Detailed Record Screen where the record's contents can be viewed (see Figure 4-50 Detailed Record Screen—N-DEx Stylesheet). When a user:
- Clicks on the Open Full View icon  (to the right of the record header), N-DEx opens a new window and displays the detailed record screen. After reviewing the record in the new window to return to the results screen (dependent upon the record type), a user must close either the N-DEx Detailed View tab  or the Close Detailed View link  (see Figure 4-50 Detailed Record Screen—N-DEx Stylesheet).
 - Clicks on records identified with the Globe icon , he/she can display geographic information contained in the record on a map via the Geo Visualization feature.



Figure 4-46 Record Results—Record Header, Record Summary, and View Narrative Link

Other N-DEx results features include:

- A summary line (below the record header) that provides information such as offense, location, start and end dates, names or other identifiers (if contained in the record). A count of number of times the user's search term(s) occur in each document(s) returned (see Figure 4-46 Record Results—Record Header, Record Summary, and View Narrative Link). Matched Search Terms give additional insight to determine if a record is of interest by displaying the number of hits for each term immediately above the search results snippet. This gives an immediate indication of the number of search terms that occur outside the snippet summary but still contribute to the relevancy of the record. Matched Search Terms provides a link which the user can click to display the Search Term Hit Count (see Figure 4-47 Search Term Hit Count). However, for a Targeted People or Targeted Vehicle search, users may notice term(s) matching the search criteria that are not highlighted. If the term(s) matching the targeted people or vehicle search criteria were located in the extracted, or narrative, portion of a record(s), that term(s) will not be highlighted.
- A hit count capability for all search methods: Simple, Targeted Simple, Advanced, Targeted, and Batch. Hit counts are available for keyword phrases that are denoted with quotation marks; for example, "search this phrase." Phrases that are longer than five words are compressed to the first five words, and an ellipsis represents words that are

omitted by the compression. Search terms with a common stem (*run*, for example), will have their stemmed variants searched and combined into the count.

- c. A box (displayed when the user clicks the search term) with the stems found in the record and the number of times each appears. For example, if the word *run* was part of the query, the Matched Search Term link on a record result for *run* would list the number of times the words *run*, *running*, *ran*, and *runs* appear. If a particular stem does not appear in the record, the word will not appear in the box.
- d. A Suggested Searches capability (for some types of searches) where additional search terms are suggested; see detailed instructions in Section 4.16.2: Search Suggestions.
- e. A View Narrative link (at the end of the summary) for some record results. When a user clicks the link, the narrative portion of the record opens. Reviewing only the record narrative may aid a user in determining whether or not to open a record(s) for further review. To collapse the narrative and return to the summary, the user clicks the View Snippet link.
- f. A unique N-DEx Record Identification (ID) number (generated upon ingest) is provided after the summary.
- g. An N-DEx Search ID is displayed at the bottom of the search results page. This identification number is used to identify each N-DEx search. Section 9: Help furnishes additional information on the use of the N-DEx Search ID.



Figure 4-47 Search Term Hit Count

4.16.2 Search Suggestions

Search suggestions add value to assist with discovery and are non-existent prior to the user initiating a query. Suggested search terms rephrase the user's own queried term(s) using synonyms and similar phrases to offer potentially more productive searches. For example, if the original query is metal theft, suggested search terms might be aluminum theft, silver theft, precious metal larceny, etc. If suggested query terms cannot be generated from the original search criteria, suggested searches will not be provided.

This feature is always enabled in an N-DEx Simple Search, unless the Simple Search query term(s) are surrounded by quotes. A Suggest Search can also be utilized when a user performs an

Any of these terms-type Advanced Search. This capability is not available for any Advanced searches containing **AND** or **NOT**. This capability is also not available for Targeted searches, Targeted Simple searches, and/or any search external to N-DEx.

After N-DEx returns results from a Simple Search or an Advanced Search using the Any of these terms option, the user can employ search suggestions. When the user clicks a search suggestion, N-DEx executes a new Simple Search for that term(s) and takes into account any filters that are active. The system logs the search for audit purposes just as any other search would be logged and can be found in the user's Search History tab.

On the search results screen, after the number of results returned, N-DEx displays the current search query term(s). Under that link, search suggestions are displayed (see Figure 4-48 Suggested Searches).



Figure 4-48 Suggested Searches

The user can click on one of the Suggest Searches links and N-DEx will execute a new Simple search for the search suggestion keyword(s), taking into account any filters that are active. From the search suggestions, the system displays a new search results set matching the suggested search criteria. On the results screen, after the number of results returned, N-DEx displays the suggested search term(s), and under that link the original search terms are displayed (see Figure 4-49 Suggested Search Results). For instance, a user might perform a Simple Search using the criteria of driving in a car. From that search, suggested searches might include: drive in a motor vehicle, take a car, dr in an automobile, etc. The user might then select the criteria of dr in an automobile to perform a suggested search (see Figure 4-49 Suggested Search Results).

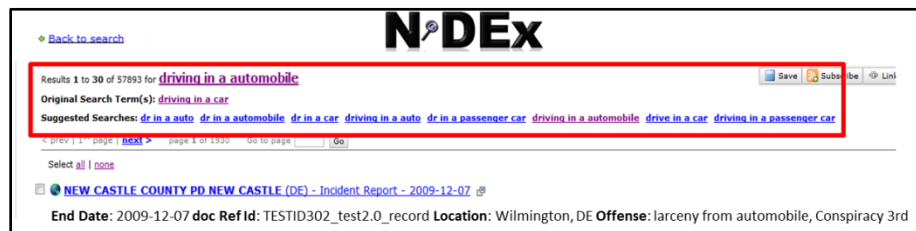


Figure 4-49 Suggested Search Results

Search suggestions will persist for the original search despite the user traversing the list. To initiate the original search, the user clicks on that Search Phrase link. By clicking any of the hyperlinks for the search suggestions, the user initiates a new search using that search phrase. However, N-DEx does not generate suggestions for suggested searches. Whether the user

initiates a search using the original search terms, the current search terms or the suggested search terms, all N-DEx filters are available.

When suggested search terms are used and a new search initiated, that search is logged for audit purposes. The suggested search will be included in the user's search history and displayed when the user clicks the Search History tab.

The search suggestions list will reset when the user performs a new Simple search.

4.16.3 Detailed Record View

Users can select an individual record from search results in order to view the record content. A user clicks on the Record Header link to display the Detailed Record Screen (see Figure 4-50 Detailed Record Screen—N-DEx Stylesheet).

For local and state records, the detailed record view defaults to the N-DEx stylesheet format which places record data into sections. The Detailed Record screen also provides the user with the tools to hide the details of all sections (Contract All link) or display all of the sections (Expand All link). In addition, the user may expand or contract individual sections of the record using the Expand  and Collapse  icons on the right side of each section's header bar.

From a Detailed Record screen, the user may also:

- a. Subscribe to the individual record; see detailed instructions in Section 7: Subscription/Notification.
- b. Display a diagram of the relationships between entities; see detailed instructions in Section 6: Visualization Features (Link Visualization and Geo Visualization).
- c. Display the location of entities on a map; see detailed instructions in Section 6: Visualization Features (Link Visualization and Geo Visualization).
- d. Return to the search results page. Display the record contents in the agency's original, eXtensible Markup Language (XML) format as submitted to N-DEx.
- e. Requery N-DEx using entity data from the record for a Targeted Search (see Figure 4-50 Detailed Record Screen—N-DEx Stylesheet). When a user clicks the Requery icon  within the record, N-DEx returns to the corresponding targeted search screen and available entity information from the record is populated in the respective fields. For instance, if a person's full name and date of birth are contained within the Detail Record View, the first, middle, and last names, and DOB (mm dd yyyy) will be automatically entered in the respective fields on the Person Targeted Search screen. To initiate a targeted search query for that person, the user clicks the Search button. Results will indicate whether that person entity is associated with any other records within N-DEx.
- f. Print the detailed record; see Section 4.16.7: Printing Records for instructions.

Figure 4-50 Detailed Record Screen—N-DEx Stylesheet

For federal records, the Detailed Record View defaults to a customized view based on the submitting agency's specifications (see Figure 4-51 Detailed Record Screen—Federal Agency Customized Stylesheet). For some agencies (i.e., Bureau of Prisons), more information may be contained in the agency's format. Therefore, it is usually advantageous to view a federal record in the customized Detail Record View. In our example, a Bureau of Prisons record is featured (see Figure 4-51 Detailed Record Screen—Federal Agency Customized Stylesheet). It is important to note, however, that this original format view varies due to the type of federal record returned.

Figure 4-51 Detailed Record Screen—Federal Agency Customized Stylesheet

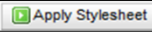
Using the Choose a Stylesheet feature, a user may view a federal record in the N-DEx stylesheet format. To display a menu of available stylesheets, a user clicks the down arrow and can select a style sheet by clicking its name which populates the Choose a Stylesheet field (see Figure 4-52 Choose a Stylesheet). To display the record in the selected stylesheet, the user clicks the Apply Stylesheet button . N-DEx stylesheets typically have an .xsl file name extension; federal stylesheets typically have an .xslt file name extension. The user can toggle between stylesheet displays using this process. To return to the search results, the user selects the Close Detailed View link.



Figure 4-52 Choose a Stylesheet

If a user needs to view an original record as submitted by the agency in XML format he/she clicks the View the Original Record link to display the record in a new window. When the encoded record is displayed, to view the record's complete XML (representing the record's data structure in elements or fields, organized and stored as computer data as submitted by the agency), a user right clicks the mouse to display a menu then clicks View Page Source (see Figure 4-53 View Original Record). To return to the Detailed Record screen, a user clicks the Close icon .

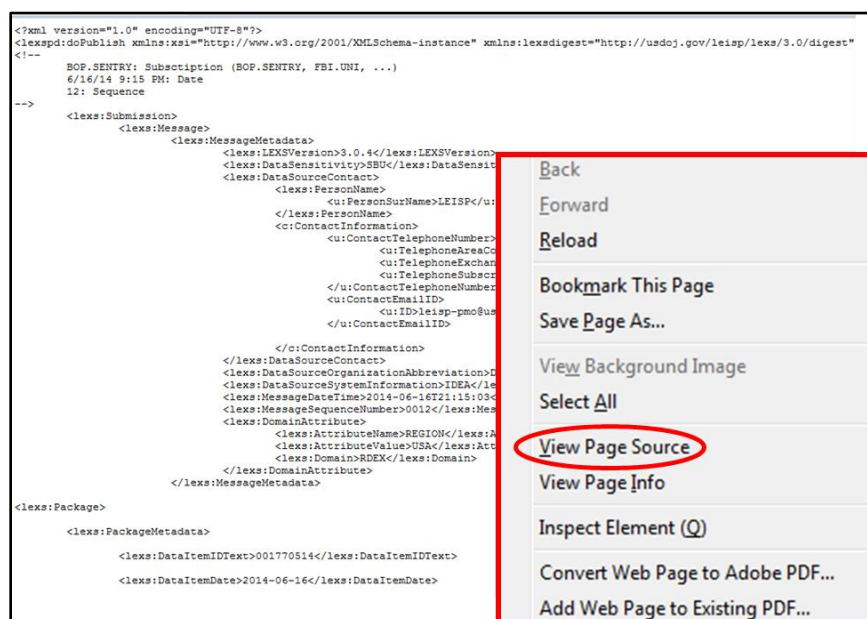


Figure 4-53 View Original Record

4.16.4 Controlled Records

Some records resulting from an N-DEx search will neither open nor display when the user clicks the record header. Access to such records is controlled by the record owner and the record header does **not** serve as a link to the record contents.

On the search results page (within the record header), N-DEx identifies controlled records by the data owner, record type, and other record identifiers (e.g., date and case number). Controlled records provide a user with contact information for the record owner, which typically includes the agency's name and telephone number (see Figure 4-54 Search Results Screen—Controlled Record). N-DEx also provides the controlled record's Record ID number.

N-DEx

Results 1 to 10 of 2267935 for **person [Kimberly Z Thompson]**

Save | Subscribe | LinkVis | GeoVis | Collaboration

1st page | next > | page 1 of 226794 | Go to page | Go

Select all | none

West Virginia N-DEx (WV) - Incident Report - 2007-08-13T14:20:00.0Z

End Date: 2007-08-13T14:20:00.0Z doc Ref ID: TESTID302_test2_0_ipev_record Location: Atlanta, GA Offense: abduction with no ransom or assault Start Date: 2007-08-13T14:20:00.0Z

Matched Search Terms: Thompson(2) Z(1)

Mr Kimberly Z Thompson Jr; Mr Kim Ann Thompson Jr; Kimmie Thompson; Hispanic White female Arrest Subject Subject; birthdate 1982-08-05; birthdate 1982-08-06; height 72 in; weight 180 lb; 160 lb; black eyes; black hair; Georgia driver license number DL79345 with expiration date 1948-08-13; California driver license number DL67344 with expiration date 1972-10-15; Federal Bureau of Investigation number 96510909; National Crime Information Center number 104850009; Alabama Air Force serial number 12345 with expiration date 2007; United States of America passport number 99789099 with expiration date 2009; United States habitual offender 545454545; Social Security number 460004649; Georgia state Automated Fingerprint Identification System number GA77745; California state Automated Fingerprint Identification System number CA65145; United States Marshals Service fugitive Identification number USMS9214562; 2150 Powers Ferry Road Atlanta GA 30339; 2150 Powers Ferry Rd SE Atlanta GA 30339; 2150 Powers Ferry Road Atlanta GEORGIA 30339; 493 Peachtree St Atlanta GA 30308; 493 Peachtree Atlanta Georgia 30332; 493 Peach tree St Atlanta Georgia 30332; comprehends English as a first language; reads English as a first language; speaks English as a first language; writes English as a first language; comprehends Spanish as a second language; speaks Spanish as a second language; scar on forehead finger height inches width; tattoo on arm finger height inches width; tattoo on right arm finger height inches width; bucked teeth; One front tooth missing; armed and dangerous; Known to have gun and knife; 01; Computer Programmer; United States citizen; Canada citizen; subject asked for assistance; Asked the clerk; comprehends spoken language; reads language; speaks language; writes language; Lightening scar over right eye; Heart with mother in it; Data entered by officer; 2007-08-13T14:20:00.0Z; Known to be false; 1999 ... view narrative

record id: TESTID302_test2_0_ipev_record

JACKSON PD - Incident Report - 2008-07-11T23:00:00-06:00

Contact info: POC information : JACKSON PD 731 425-8400

record id: 0108015707

CLARKSVILLE PD - Incident Report - 2008-11-04T16:00:00-06:00

Contact info: POC information : CLARKSVILLE PD 931 221-3246

Figure 4-54 Search Results Screen—Controlled Record

If the user thinks the controlled record may be relative to his/her search reason and needs further information, then it is incumbent that the user contact the agency to discuss the record. When calling, a user should provide all available information from the controlled record header, including the N-DEx Record ID. The agency can locate the record in N-DEx using the N-DEx Record ID and/or in its Records Management System (RMS) and is in the best position to determine whether the record contents can be released under local, state, and/or federal law.

4.16.5 DHS Record Results

After the user initiates a query of the DHS leveraged data source, N-DEx denotes the number of DHS results beside the link. The user must click on the link to display the results (see Figure 4-55 DHS Leveraged Data Source Search Results).

N-DEx

Results 1 to 10 of 2267935 for **person [Kimberly Z Thompson]**

Save | Subscribe | LinkVis | GeoVis | Collaboration

1st page | next > | page 1 of 226794 | Go to page | Go

Select all | none

Department of Homeland Security - 2010-10-23

snippet: Organization Name: Department of Homeland Security Person Name: Kimberly Thompson Date of Birth: 1942-10-19 Race: White SSN: 123-45-6789

view narrative

Record id: 11345678910111213415

Department of Homeland Security - 2010-10-23

snippet: Organization Name: Department of Homeland Security Person Name: Kimberly Z Thompson Date of Birth: 1942-10-19 Race: White SSN: 123-45-6789

view narrative

Record id: 16171819202122324252627

Theft Under \$1500

External Data Sources

Leveraged Data Sources

DHS (10)

Figure 4-55 DHS Leveraged Data Source Search Results

If an icon (X) appears beside the Data Source link, DHS records are not immediately accessible. Users should attempt the search later (see Figure 4-34 DHS Results Not Currently Accessible). Additional information on DHS searches is available in Section 4.8.2: Targeted People Search—DHS Leveraged Data Source, Section 4.10: Targeted Telephone Number Search and Section 4.11: Targeted Locations Search.

4.16.6 USNCB INTERPOL Record Results

After the user initiates an USNCB INTERPOL query, INTERPOL returns a list of potential candidates from its centralized repository that matches the search criteria. A set of N-DEx system results is returned first. N-DEx denotes the number of INTERPOL results beside the Data Source link (see Figure 4-56 USNCB INTERPOL Search Results Designation). If an icon  appears beside the Data Source link, INTERPOL records are not immediately accessible. Users should attempt the search later.

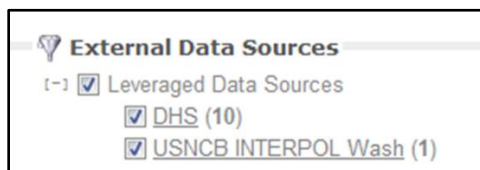


Figure 4-56 USNCB INTERPOL Search Results Designation

To display INTERPOL search results, the user should click on the USNCB INTERPOL Wash link. INTERPOL results will display as a separate result set following N-DEx system results. When the user selects an INTERPOL record result, N-DEx displays an acknowledgement screen (see Figure 4-57 USNCB INTERPOL Acknowledgement Screen).

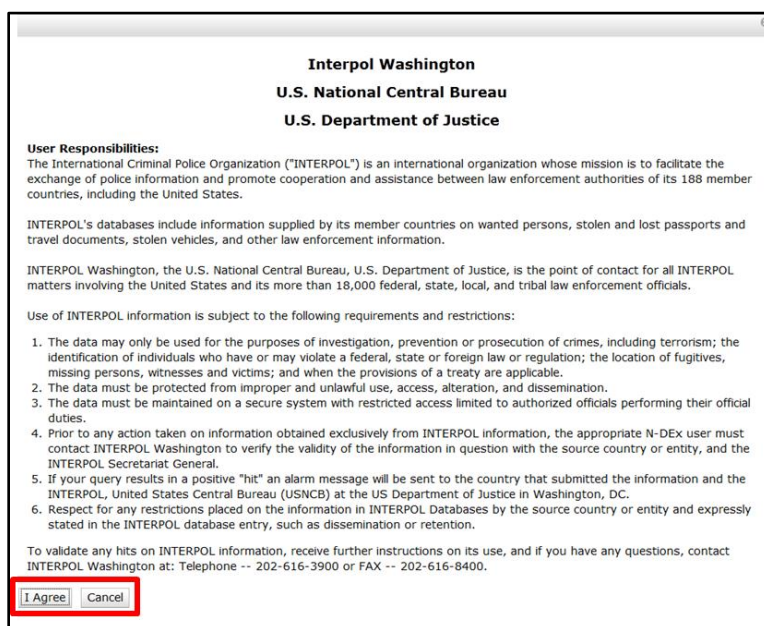


Figure 4-57 USNCB INTERPOL Acknowledgement Screen

Users should fully read the agreement and must click on the I Agree button  before the record displays for viewing (see Figure 4-58 USNCB INTERPOL Record Stylesheet). The user must contact INTERPOL Washington to verify the validity of the information in question with the source country or entity. If the user clicks the Cancel button  on the agreement screen, N-DEx closes the screen and doesn't display the INTERPOL record result.

INTERPOL will indicate if an error occurs when searching with an icon  after the Data Source link. Clicking on the icon will display an error message with information for the user to follow to

resolve the issue. More information is available in Section 4.8.3: Targeted People Search—USNCB INTERPOL and in Section 4.9.1: Targeted Vehicle Search—USNCB INTERPOL.

U.S. National Central Bureau -

Reference ID: P2008/11720

Record Contact Information

Record X POC Name: Command Center
Organization Name: Interpol
Record X POC Telephone: 202-416-3900
Originating Agency ID: 1750

Person

Last Updated Date: 20140325
Last Verified Date: 20130909

Citizenship:
Document Type: PASSPORT Document ID: 123456789 Jurisdiction: Effective Date: 20091017
Alternate Name: Kim Z
Birth Date: 19421019
Alternate Name: Kim Z
Birth Date: 19421019
Alternate Name: Kim Z Thomas
Birth Date: 10/19/1942
Offender Notice: CRIMINAL
Caution Information:

Document

Document Type: DRIVING LICENCE Document ID: 123456789 Jurisdiction: Effective Date: 20091008
Alternate Name: Kim
Birth Date: 19421019
Alternate Name: Kimet
Birth Date: 19451019
Alternate Name: DICK
Birth Date: 99999999

Activity

Comment: RECORDED CRIMINAL HISTORY Purpose: FOR INFORMATION ONLY

Associations

Birth Place: United States

Locations

Location: LA MESA / CALIFORNIA United States

Document

Passport Identification: 123456789

All Images

Narrative

Your search of the Interpol ASP database has resulted in a positive "hit" and an alarm message has been sent to the country that submitted the information and the Interpol United States National Central Bureau (USNCB) at the U.S. Department of Justice in Washington, D.C. Before taking any further action on this matter, you must contact the USNCB immediately at (202) 416-3900 to confirm the validity of the information obtained and coordinate any follow-up action on the information. NOTE: Under U.S. Law, the existence of charges in another Country alone DO NOT authorize the subjects arrest in the United States. However, the foreign charges and the present circumstances MUST provide a basis under the laws and regulations applicable to your jurisdiction to detain the subject, at least temporarily, in order to obtain additional information.

[back to top](#) [view details view](#)

N-DEx information may be viewed, output, or discussed without advance authorization of the record owning agency. However, any use of N-DEx information requires the satisfaction of the Advanced Permission Requirement (confirming the terms of information use) and the Verification Requirement (verifying the completeness, timeliness, accuracy, and relevancy).

Figure 4-58 USNCB INTERPOL Record Stylesheet

4.16.7 Printing Records

Users may print records from the Detailed Record View (either the N-DEx Stylesheet or a federal agency's customized Stylesheet) by selecting the Print button (see Figure 4-58 USNCB INTERPOL Record Stylesheet).

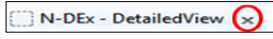
The N-DEx Advanced Permission and Verification Requirements warning message displays reminding a user that "N-DEx information may be viewed, output, or discussed without advance authorization of the record owning agency. However, any use of N-DEx information requires the satisfaction of the Advanced Permission Requirement (confirming the terms of information use) and the Verification Requirement (verifying completeness, timeliness, accuracy, and relevancy)" (see Figure 4-59 N-DEx Advanced Permission and Verification Requirement Message). A user should read the message and must confirm his/her adherence to the requirements by clicking the I Agree button to print the record. To cancel the print request and return to the Detailed Record View, a user clicks the Cancel button .

N-DEx Dissemination Warning

N-DEx information may be viewed, output, or discussed without advance authorization of the record owning agency. However, any use of N-DEx information requires the satisfaction of the Advanced Permission Requirement (confirming the terms of information use) and the Verification Requirement (verifying the completeness, timeliness, accuracy, and relevancy).

Figure 4-59 N-DEx Advanced Permission and Verification Requirement Message

After the user agrees, the detailed record opens in a new window. A print window displays where the user can make various print selections including printer name, number of copies, and so on (see Figure 4-60 Print Screen). Dependent upon the Internet browser used, the print window display will vary. Once print selections have been made, a user clicks the OK button to initiate printing. After printing, the user must close the record (which was opened in the new window for

printing purposes) by clicking the X on the N-DEx Detailed View tab  and return to the record displayed in the Detailed Record View in N-DEx. If the user clicks the Cancel button , the print request is canceled.

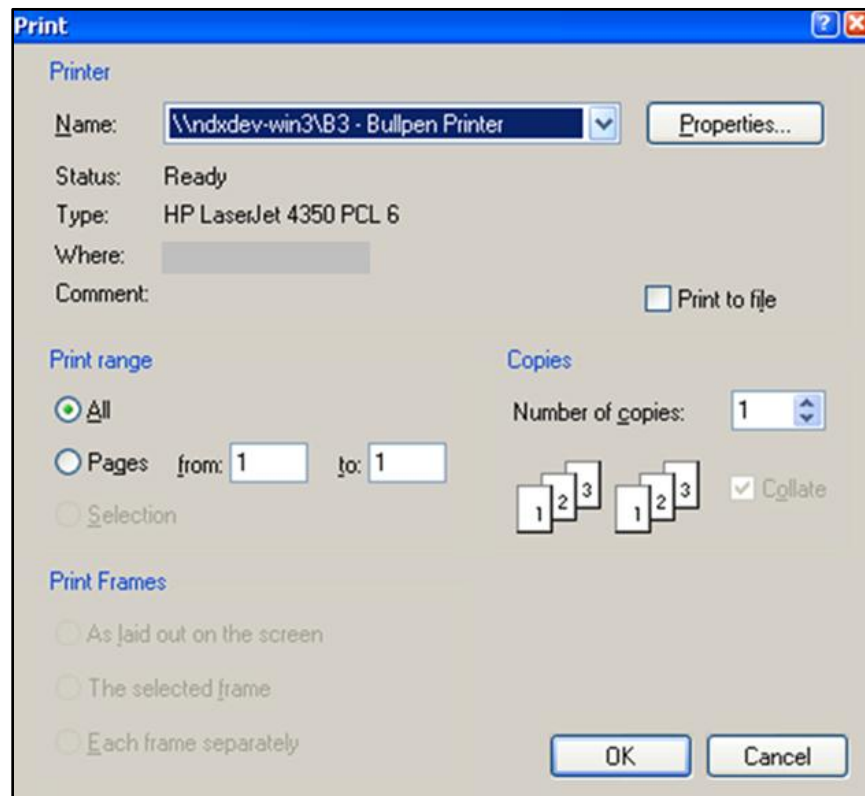


Figure 4-60 Print Screen

4.16.8 Record Protection and Use

It is important for users to remember that N-DEx is an online real time system and records are constantly being updated; therefore, record information can change at any time rendering printed copies obsolete.

N-DEx is a national enhanced pointer and data discovery system for SBU, law enforcement sensitive, and Controlled Unclassified Information (CUI) class criminal justice data. N-DEx information may be viewed, output, or discussed without advanced authorization of the record owning agency, within the record-requesting agency or another agency, if the other agency is an authorized recipient of such information by virtue of meeting the requirements for N-DEx access and is being serviced by the record-requesting agency.

The use or inclusion of N-DEx information in the publication or preparation of charts, presentations, official files, analytical products or other documentation (to include: use in the judicial, legal, administrative, or other criminal justice process, etc.), specifically requires advanced permission.

Dissemination, proper use, and protection of data obtained from N-DEx is pursuant to the *Criminal Justice Information Services (CJIS) National Data Exchange (N-DEx) Policy and*

Operating Manual which is available electronically via the Policy Manual link on the N-DEx system toolbar and/or on the LEO home page, in the N-DEx Spotlight Section.

Users may contact the N-DEx PO via e-mail at ndex@leo.gov; via postal mail at: FBI CJIS Division, Attention: N-DEx Program Office, Module B-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0153; or via telephone request to (304) 625-3282 (N-DEx Help Desk).

4.16.9 Manage Known Person Search Results

A Targeted Search for People can return a different type of search result, the Known Person Result. To produce Known Person Results, the Targeted People search must include a first and last name **and** an identifier such as a date of birth (see Figure 4-28 Targeted Person Search). N-DEx searches the name and the other weighted identifier and provides Entity Resolution. Entity Resolution suggests the subject(s) records returned are possibly the same person. N-DEx returns and displays resolved records in the Known Person Results box. In our example, N-DEx has resolved that one arrest record and two incarceration records are likely the same individual (see Figure 4-61 N-DEx Known Person Results). The user is responsible for performing analysis to confirm the association between resulting system records.

N-DEx Known Person Results

Name/Alias	Identifiers	Race/Gender/Age	Locations	Records	Images
1 Kimberly Z. Thompson Kim Ann Thompson Kimberly Z Thompson Kimie Thompson ...	SSN: 460004649 DLNUMBER: DL67344 (California) FUGITIVEID: USM59214562 ...	White female 30	ATLANTA GA	Incident (1)	
2 Kimberly Z. Thompson Kimberly Z Thompson	SSN: 460004649 FBI NUMBER: 78787878	White female 34 35	CLARKSBURG WV ROCKVILLE MD	Arrest (1)	
3 Kimberly Z. Thompson Robert Smith Kim Ann James Atlanta ID ...	SSN: 460004649 DLNUMBER: DL67344 (California) FUGITIVEID: USM59214562 ...	White female 30 30	ATLANTA GA	Incident (1)	

Results 1 to 3 of 3 for person[IDs: [SocialSecurityNumber:460004649]]

Select [all] [none]

West Virginia N-DEx (WV) - Incident Report - 2007-08-13T14:20:00.0Z

End Date: 2007-08-13T14:20:00.0Z doc Ref Id: test2_0_gpv_record Location: Atlanta, GA Offense: abduction with no ransom or assault Start Date: 2007-08-13T14:20:00.0Z

Matched Search Terms: 460004649

Kimberly Z. Thompson; Mr Kimberly Z Thompson Jr; Kim Ann James; Mr Kim Ann James Jr; Robert Smith; Hispanic White White female Arrest Subject Subject; Birthdate 1962-08-05; birthdate 1962-08-05; height 72 in; weight 180 lb; 160 lb; black eyes; black hair; Georgia driver license number DL79345 with expiration date 1968-08-15; California driver license number DL67344 with expiration date 1975-10-15; Federal Bureau of Investigation number 56510909; National Crime Information Center number 1048500009; Albania Air Force serial number 12345 with expiration date 2007; United States of America passport number P7890909 with expiration date 2009; United States habitual offender 56545645; Social Security number 460004649; Georgia state Automated Fingerprint Identification System number GA77745; California state Automated Fingerprint Identification System number CA65145; United States Marshalls Service Fugitive Identification number USM59214562; 2150 Powers Ferry Road Atlanta GA 30339; 2150 Powers Ferry Rd SE Atlanta GA 30339; 2150 Powers Ferry Road Atlanta GEORGIA 30339; 493 Peachtree St Atlanta GA 30308; 493 Peachtree Atlanta Georgia 30332; 493 Peach tree St Atlanta Georgia 30332; comprehends English as a first language; reads English as a first language; speaks English as a first language; writes English as a first language; comprehends Spanish as a second language; speaks Spanish as a second language; scar on forehead finger height inches width; tattoo on arm finger height inches width; tattoo on right arm finger height inches width; bucked teeth; One front tooth missing; armed and dangerous; Known to have

Figure 4-61 N-DEx Known Person Results

In the Known Person Results, the person's name/alias serves as a link to the Person Details screen. Person Details are a compilation of information from each of the resolved record(s). Scrolling through the Person Details, a user will notice a Records Section listing each of the resolved record contributors. Each contributing agency name serves as a link to its detailed record(s). To open an agency's record in the Detailed Record View, a user clicks on the respective agency name (see Figure 4-62 N-DEx Known Person Results—Person Details Screen). The user can close the detailed view by using the Close Detailed View link to return to the Person Details.



Figure 4-62 N-DEX Known Person Results—Person Details Screen

Several system tools are available on the Person Details screen including: Subscribe, Link Visualize, and Geo Visualize. The user can also click the Back to Results link to return to the results screen.

4.17 Search Screen Tabs—Topics Tab

In the large volume of results returned from Simple searches (including suggested searches), N-DEX provides the capability to filter the search results set for common properties based on topics (concepts within the results set) to enable users to more efficiently identify record results of interest. Topic filtering provides a means by which users can examine search results for trends that may not otherwise be obvious. For example, a search query of disorderly conduct may yield topics within the records returned such as criminal trespass, registered offender, and so on. When a user employs the Topic filter, record results will be limited to records containing the selected topics.

The user clicks the Topics Tab to display the Get Topics button . After N-DEX returns Simple search results, the Get Topics button will be activated. The user clicks the Get Topics button to generate a list of topics for filtering (see Figure 4-63 Topics Tab—Get Topics Button). To display the list of topics the user must click the expand symbol .

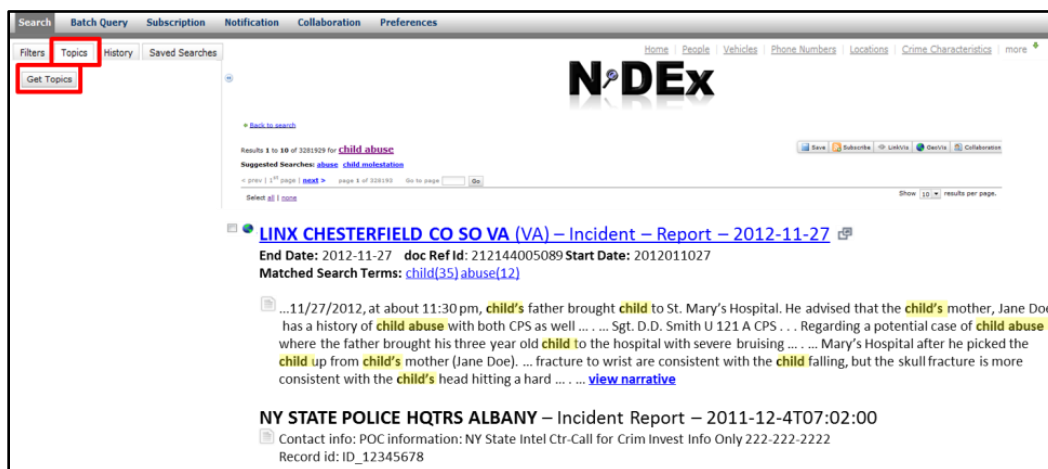


Figure 4-63 Topics Tab—Get Topics Button

N-DEX generates a list of topics from records comprising the initial search results set. The user can select up to three topics from the list. To filter the search results and narrow the results to those records containing the selected topics, the user clicks the Apply Topics to Results button

(see Figure 4-64 Topic Filter List). Search results will display for the original query term(s) AND one or more of the selected topics. N-DEX filters (geographic, ORI, etc.) will only apply to the original search from which the topics are derived. When the user clicks the Apply Topics to Results button, the N-DEX filters will not affect the results. The user can select other topics based on the original query at any time. Saved searches will save the query(ies) with topics. The user can recall a query(ies) with topics using the History tab.

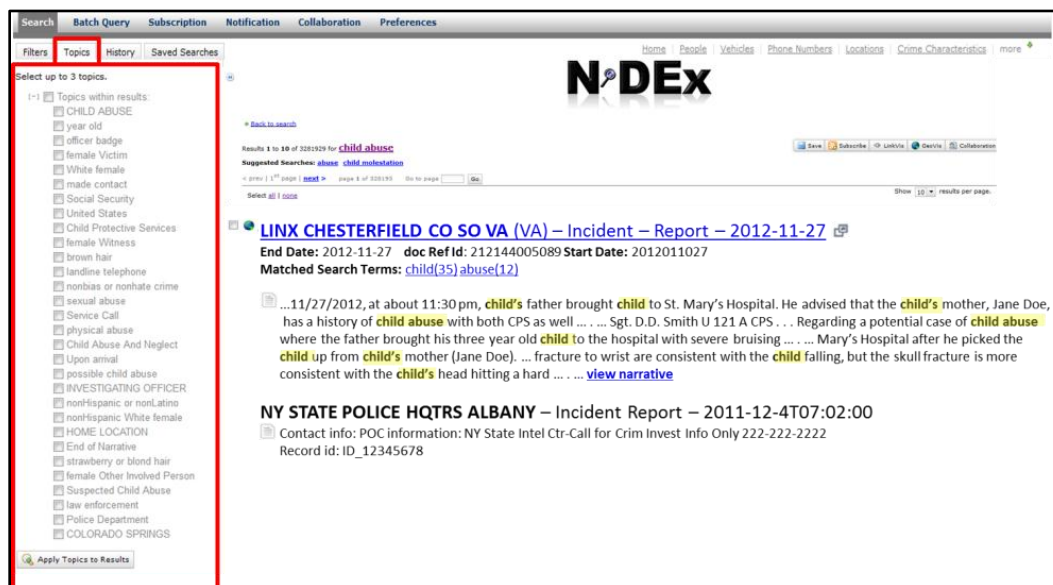


Figure 4-64 Topic Filter List

The user should note that topics will not be returned for results based on Targeted, Simple Targeted searches. N-DEX will also not yield topics for searches of leveraged data sources.

4.18 Search Screen Tabs— Saved Searches Tab

A user can save a search at any time by choosing the Save button  from the Search Results screen (see Figure 4-65 Save Search Capability). If a user chooses the Save button, N-DEX opens a dialog window asking for a unique descriptive name for the current search. The user should name the search and enter that name in the free text field. Saving the search will store it for later use (see Figure 4-65 Save Search Capability).

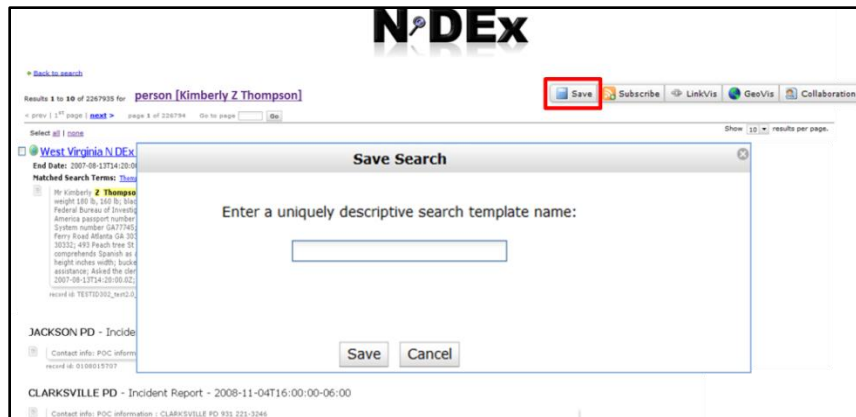


Figure 4-65 Save Search Capability

N-DEx saves the search criteria that produced the results of the search. The search criteria and any filters used when the search was conducted are saved, including topic filtered queries. When a user saves searches, information is not lost if he/she accidentally signs out; the session times out; or he/she wants to return to an earlier search or to an especially complex search. For instance in an ongoing case, a user could easily conduct an especially complex search repetitively if that search was saved. A maximum of 200 searches can be saved.

To retrieve a Saved Search, the user should click the Saved Searches tab to display a list of saved searches (see Figure 4-66 Saved Searches Tab). The user can choose to initiate any Saved Search from the list, and N-DEx will produce **new results** consistent with the saved parameters of the earlier search.

To load the search criteria from a Saved Search, the user should click the arrow  or the search name. Either action displays the search type window with the saved search criteria populated in the applicable field(s). To initiate the search the user clicks the Search button.



Figure 4-66 Saved Searches Tab

The user can click the View icon  to review the search criteria for a saved search. A pop-up window displays showing the search type and the saved criteria (see Figure 4-67 View Saved Search Criteria). To close the window and return to the Saved Searches tab listing, the user can either click the OK button  or the close icon  (see Figure 4-67 View Saved Search Criteria). To delete a Saved Search, the user clicks the delete icon  which removes that search from the saved searches list.



Figure 4-67 View Saved Search Criteria

4.19 Search Screen Tabs—History Tab

While the Saved Searches tab enables the user to recall a saved search to use the criteria again to produce new results, the History tab enables the user to recall previous search results. The N-DEx system automatically saves previous search results and past searches and results can be retrieved by clicking the History Tab. A listing of all past searches displays. If a search was filtered by topics, the query(ies) result(s) can be recalled via the History tab.

The user should click the History tab to display a list of his/her previous searches. N-DEx organizes past searches by timeframes (i.e., Last Day, Last Month, Older Searches, etc.). The user can open the time category to locate the desired search. To load the search criteria from a past search, the user clicks the arrow  or the search name. Either action will display the search type window with the user's previous search criteria populated in the applicable field(s), where the user can initiate the prior search again to obtain previous results. To initiate the search, a user clicks the Search button. Users should note previous results may differ from system results if the search was currently initiated.

The user has several tools on the History Tab: refresh the listing by clicking the Refresh link ; clear the entire search history by clicking the Clear History link ; or remove an individual search by clicking the search name and then clicking the Delete icon  (see Figure 4-68 History Tab).



Figure 4-68 History Tab

5 BATCH QUERY

5.1 Overview

A batch query is two or more searches for the same type of information combined into a single batch job. There are several benefits to using a batch query. When searching for the same type of information, a batch query saves time and effort by utilizing a single search instead of a user spending hours conducting multiple individual searches. Users can upload a list of search criteria (such as names, telephone phone numbers, or license plate numbers) and have N-DEx perform a search for each item on the uploaded list. Files may contain from one to thousands of names, vehicles, keywords, etc.

Another benefit of using a batch query is that users can review results of an in progress batch query. Or, users can wait until the entire batch job is finished to view statistics and completed individual results. Either option enables viewing query results at the user's convenience.

Batch query benefits can be shared when other N-DEx users are permitted to view the query results. Lastly, users may set up batch queries to automatically run and update at selected intervals, showing any change in results since the last time the query was run. Users can have a recurring query and up-to-date results using this subscription-like feature.

5.2 Creating a Batch Query

To use batch query, the user should click the Batch Query tab on the N-DEx toolbar. Two sub-tabs are available, the Batch Queries and the Batch Query Templates tabs (see Figure 5-1 Batch Query Tabs).

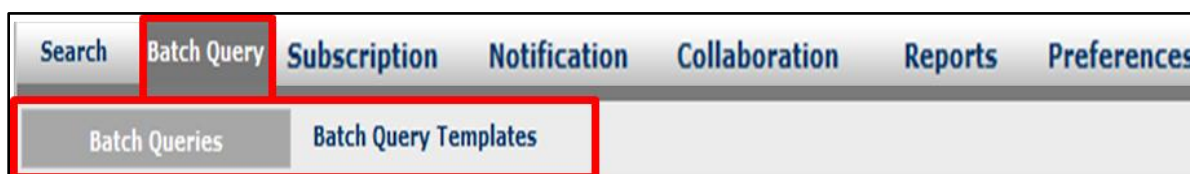


Figure 5-1 Batch Query Tabs

N-DEx defaults to displaying the Batch Queries screen. If a user has never created any queries, this screen will not initially reflect any query information (see Figure 5-2 Batch Queries Screen).

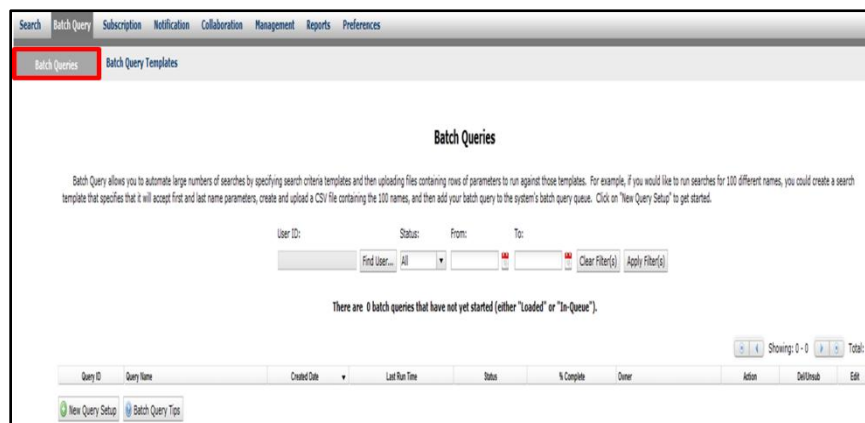


Figure 5-2 Batch Queries Screen

N-DEx requires a Batch Query template, or “query specification,” to interpret the search criteria used. For example, a user may want to search a list consisting of first and last names, and dates of birth from a personnel roster for a company currently under investigation. The template also specifies the type of input file to be used to populate the search criteria. Input files can be formatted as Comma-Separated Values (CSV) or fixed width. The user can convert an existing spreadsheet into a CSV file for easy uploading. Instructions for creating a CSV or fixed-width file are outside the scope of this *User's Guide*. An information technology/systems resource should be contacted for assistance if users are not familiar with these types of files.

To conduct a batch query, the user must utilize an s N-DEx system template or create a custom template. N-DEx system templates are available to all users and are based on queries the user is most likely to conduct. It is highly recommended that a user view available system templates to determine if any meets his/her search criteria and input file format requirements.

If the N-DEx system templates do not include the desired search criteria, the user can create a new template. Users can save the new template and use it for future queries utilizing the same search criteria.

5.2.1 Using an N-DEx System Template

To utilize a system template, the user should click the Batch Query Templates sub-tab which displays the Batch Query Templates window. System templates are listed by template name which consists of the search criteria and input file formats (see Figure 5-3 Batch Query Templates Screen).

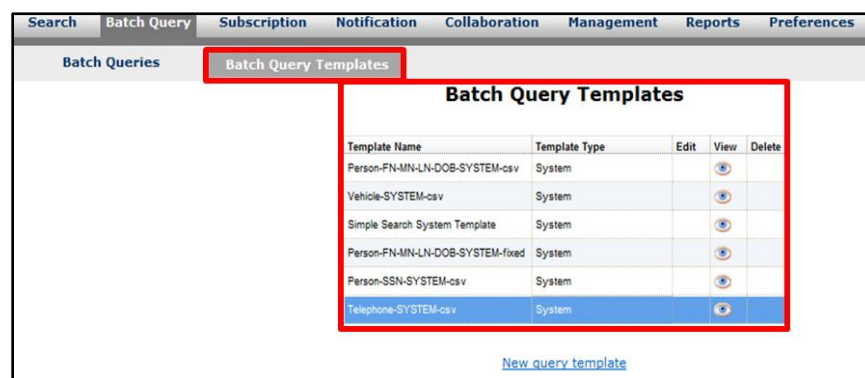


Figure 5-3 Batch Query Templates Screen

Users should view the details of available templates to determine if a system template can be used. To view existing template details, a user should click on the View icon  in the View column for that template (see Figure 5-4 View Template Icon).

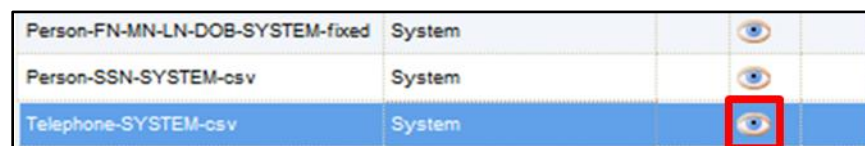


Figure 5-4 View Template Icon

The View Template window displays showing the template’s specifics such as the name of the file, the type of search (people, vehicles, telephone numbers), the file format (CSV or fixed

width), and the search criteria fields (see Figure 5-5 View Template Window). The user can view both N-DEx system templates and previously created custom templates.

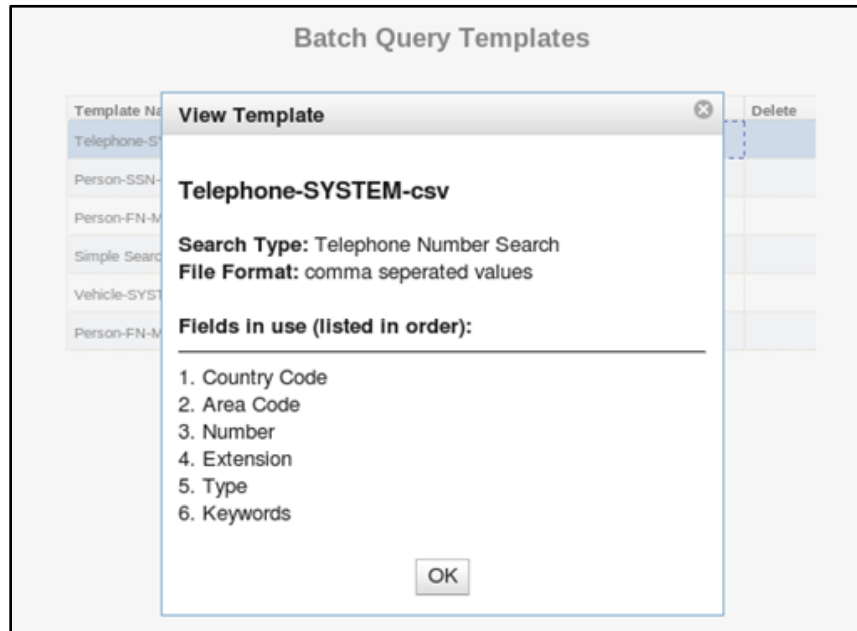


Figure 5-5 View Template Window

After deciding upon a template and input file format, to set up a batch query utilizing a system template, users should click the Batch Queries tab which displays the Batch Queries screen and the New Query Setup button (see Figure 5-6 New Query Setup Button).

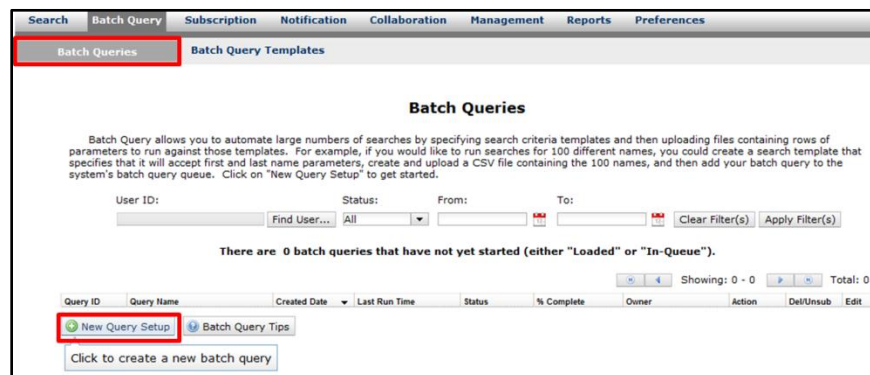


Figure 5-6 New Query Setup Button

Clicking the New Query Setup button displays the Batch Query Setup screen (see Figure 5-7 Batch Query Setup). Users must complete required fields in the Search Reason area. The user should input the Search Purpose, Search Reason, and Search on Behalf of fields as if they were conducting a keyword, advanced, or Targeted Search. Section 4.2.1: Filters Tab—Search Reason Area provides a detailed explanation of these requirements.

Search Batch Query Subscription Notification Collaboration Management Reports Preferences

Batch Queries Batch Query Templates

Batch Query Setup

Search Reason

Search Purpose (required): Criminal Justice "C"

Search Reason (required): Criminal Justice "C"

Search on Behalf of: Criminal Justice Employment "J"

Query Name

Input File Name: No file selected.

Cancel Validate Sample Save Save and Add to Queue

Figure 5-7 Batch Query Setup

The user must enter a descriptive query name that identifies the batch query. The Query Name field is a free text field. Users may name the query using alphanumeric and special characters (such as spaces, hyphens, etc.); however, query names are limited to 100 characters and must be unique. The user should select a template from the templates menu (see Figure 5-8 Batch Query Standard Templates Menu). On the menu, the user clicks a template option to highlight it and place that selection in the Query Template field for use. If a template does not exist that includes the search criteria or input file format needed, the user must create a custom template. Section 5.2.2: Creating a Custom Template provides more information.

Batch Queries Batch Query Templates

Batch Query Setup

Search Reason

Search Purpose (required): Criminal Justice "C"

Search Reason (required): Criminal Justice "C"

Search on Behalf of (optional): Acme Investigation

Query Name: Acme Personnel List

Query Template: Person-FN-MN-LN-DOB-SYSTEM-fixed

Input File Name

Cancel Validate Sample

Person-FN-MN-LN-DOB-SYSTEM-fixed

Simple Search System Template

Vehicle-SYSTEM-csv

Person-FN-MN-LN-DOB-SYSTEM-csv

Telephone-SYSTEM-csv

Person-SSN-SYSTEM-csv

Figure 5-8 Batch Query Standard Templates Menu

Search criteria in the user's input file must match the format of the batch query type (i.e., people, vehicle, and telephone). For example when using the people type, if date of birth is one of the search parameters, it can either be in the mm/dd/yyyy (the user must insert slashes) or the yyyy-mm-dd (the user must insert hyphens) format.

Next, the user should click on the Browse button, scroll through the user's documents library, and select the desired file by double clicking on the file name or single clicking on the name and then clicking the Open button. The file will appear in the Input File Name field (see Figure 5-9 Batch Query Completed Setup).

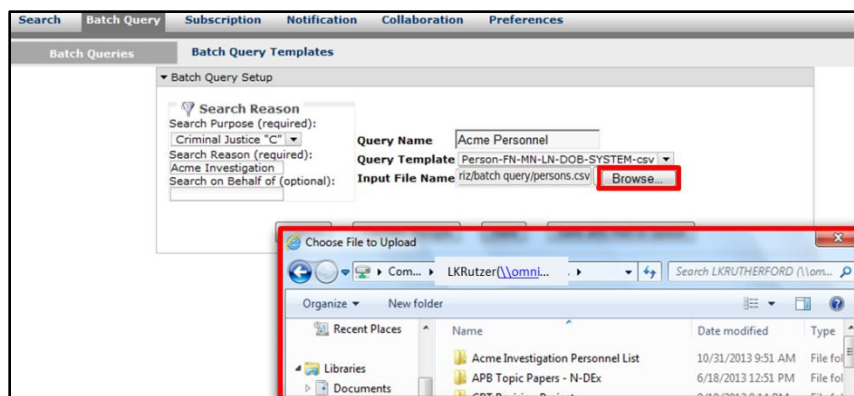


Figure 5-9 Batch Query Completed Setup

After selecting the file to upload, the user can click on the Save and Add to Queue button which saves the batch query, adds it to the queue, and initiates a search of N-DEX for the criteria contained in the input file (see Figure 5-10 Batch Query Setup Buttons).

Batch Query searches uploaded files containing 199 lines or less of search criteria in a fast queue. These queries run 24 hours a day and 7 days a week. Uploaded files containing 200 lines or more of search criteria are searched in a slow queue which runs only during off-peak hours between 8 p.m. and 8 a.m. Eastern Time (ET), 7 days per week.

However, a user may not want to add the batch query to the queue immediately and may want to edit specific filters for the query. In this case, the user should click on the Save button which saves the query but doesn't add it to the queue for the system to pick up and search. Section 5.4: Save a Batch Query provides specific instructions on this batch query feature.

Additionally before searching, it is recommended that the user validate a subset of the input file list as a sample query. Validating a sample query helps the user ensure it is properly formed to search N-DEX. Section 5.3: Validate an Input File Sample provides specific instructions on this batch query feature.

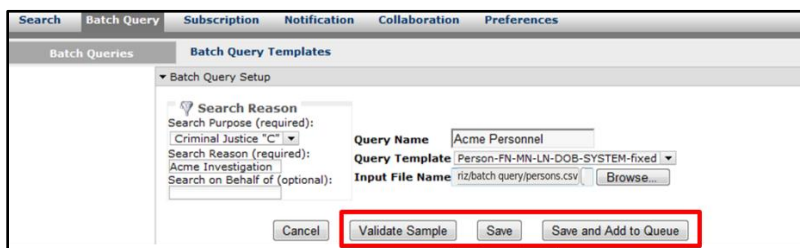


Figure 5-10 Batch Query Setup Buttons

5.2.2 Creating a Custom Template

Users should use the Batch Query Templates sub-tab to display and view available templates. The user should create a custom template only when an existing template does not include the search criteria or corresponding input file format that the user needs for his/her batch query.

To create a custom template, the user should click the New Query Template link on the Batch Query Templates screen (see Figure 5-11 New Query Template Link).

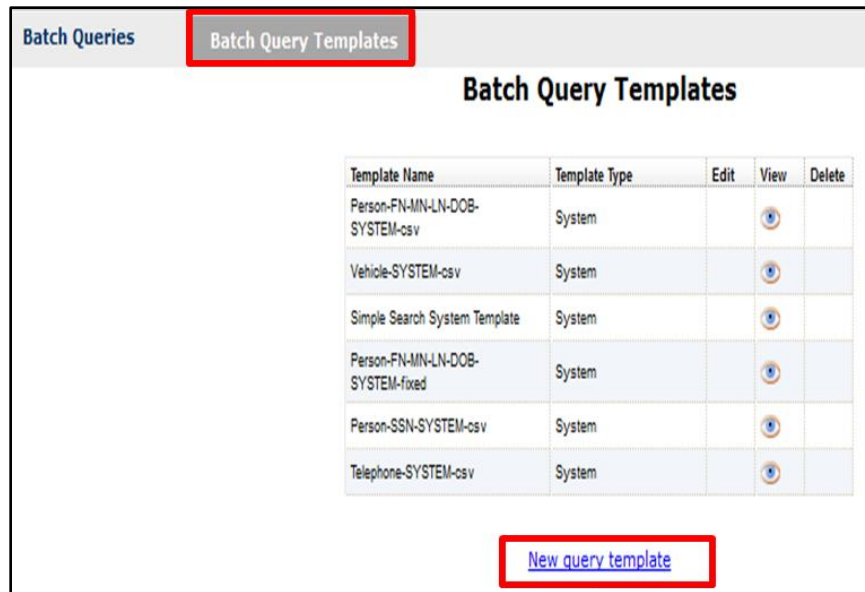


Figure 5-11 New Query Template Link

The New Batch Query Template screen displays (see Figure 5-12 New Batch Query Template Screen). The user can select from three entity types to create a custom template: People, Vehicles, or Telephone Numbers. Only one entity search type can be specified per Batch Query template. For example, a template cannot be created that combines people and vehicles. To select a search type, the user should click the corresponding sub-tab (see Figure 5-12 New Batch Query Template Screen).

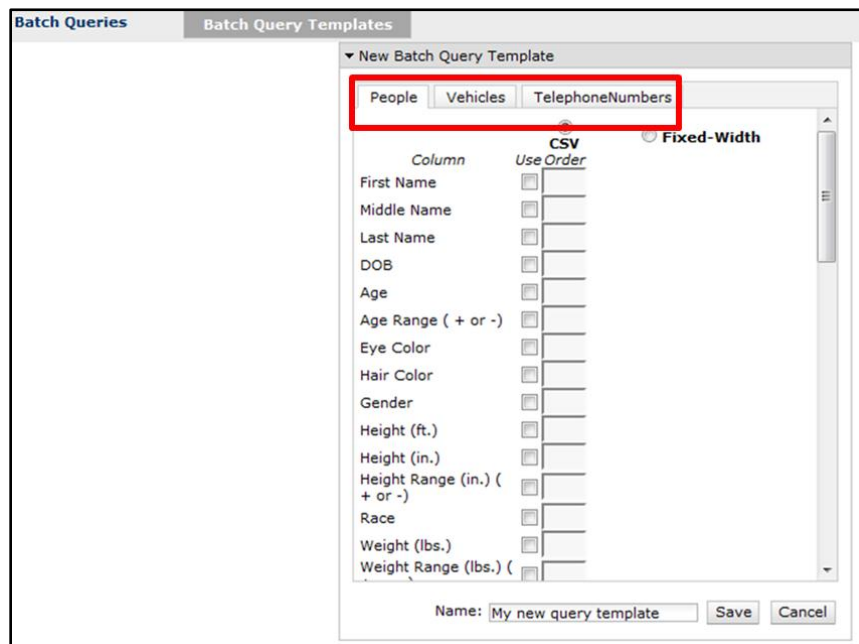


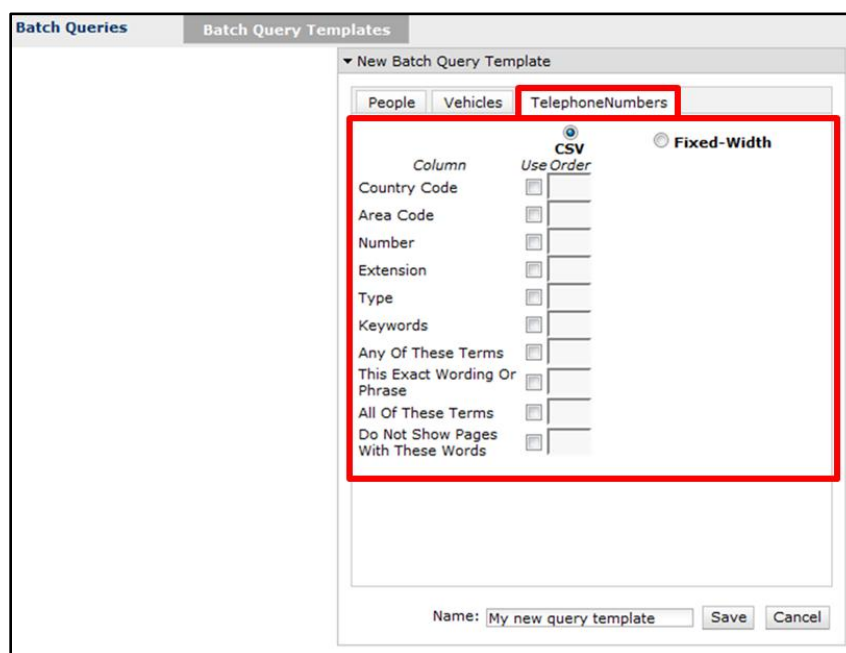
Figure 5-12 New Batch Query Template Screen

N-DEx provides two types of file formats, CSV and fixed width, for a custom batch query.

5.2.2.1 Create a CSV Template

After deciding on a people, vehicles, or telephone numbers entity search type, to customize a template in the CSV format, users should click the CSV Radio button . Available search criteria options (which correspond to the selected search type) are provided under Column (see Figure 5-13 Comma-Separated-Values Format). For example, using the People type, the user can select search parameters such as first, middle, and/or last name(s), date of birth, hair color, and gender, among others. Users can scroll through the list to see all available options. Users can narrow a batch query by an exact word or phrase, by designating specific terms, and/or by omitting pages with specific words. Guidance on using these types of filters is provided in Section 4.5: Performing an Advanced Search.

Note: Search criteria in the user's input file must match the format of the batch query type (i.e., people, vehicle, and telephone). For example when using the people type, if date of birth is one of the search parameters selected, it can either be in the mm/dd/yyyy (the user must insert slashes) or the yyyy-mm-dd (the user must insert hyphens) format in the user's input file.



Column	Use Order
Country Code	☐
Area Code	☐
Number	☐
Extension	☐
Type	☐
Keywords	☐
Any Of These Terms	☐
This Exact Wording Or Phrase	☐
All Of These Terms	☐
Do Not Show Pages With These Words	☐

Name:

Figure 5-13 Comma-Separated-Values Format

In the Use column, a user makes search criteria selection(s) by checking the box(es) and composes a custom template (see Figure 5-14 Create a CSV Template). After specifying which search criteria will be used, the user should designate the order that criteria appears in the input file by typing a number in the respective box(es) in the Order column. For instance, if the user's file is set up with the first name in column 1, the last name in column 2, and the date of birth in column 3, then the user should designate the first name as 1, the last name as 2, and the date of birth as 3 in the Order field. The user must type numeric characters in the Order field.

Batch Query Templates

New Batch Query Template

People Vehicles TelephoneNumbers

CSV Fixed-Width

Column	Use	Order
First Name	☒	1
Middle Name	☐	
Last Name	☒	2
DOB	☒	3
Age	☐	
Age Range (+ or -)	☐	
Eye Color	☐	
Hair Color	☐	
Gender	☐	
Height (ft.)	☐	
Height (in.)	☐	
Height Range (in.) (+ or -)	☐	
Race	☐	
Weight (lbs.)	☐	
Weight Range (lbs.)	☐	

Name: Person FN LN DOB Template Save Cancel

Figure 5-14 Create a CSV Template

The phrase “My new query template” is the default phrase in the Name field. The user should create a name for his/her template, entering it in the Name field. The template name should be descriptive and include the primary search criteria and input file format. While not required, this will make it easier for the user to distinguish between templates.

The last step in creating a custom template requires the user to click the Save button to retain the query. A pop-up window displays and confirms the query was saved. The user must click the OK button to close the window and return to the Batch Query Templates screen.

User-created templates can be saved and utilized for future batch queries that contain the same search criteria. If the user clicks the Cancel button, N-DEx will not create or save the query, and the user’s actions will be lost.

The newly created custom template will be visible on the list of available templates (see Figure 5-15 Saved Custom Template). Users can review the custom template criteria by clicking on the View icon .

Batch Query Templates

Template Name	Template Type	Edit	View	Delete
My Person LN FN DOB	Custom			
Person-FN-MN-LN-DOB-SYSTEM-csv	System			
Vehicle-SYSTEM-csv	System			
Simple Search System Template	System			
Person-FN-MN-LN-DOB-SYSTEM-fixed	System			
Person-SSN-SYSTEM-csv	System			
Telephone-SYSTEM-csv	System			

[New query template](#)

Figure 5-15 Saved Custom Template

To use a custom created CSV template, users should click the Batch Queries tab which displays the Batch Queries screen and the New Query Setup button. Clicking the New Query Setup button displays the Batch Query Setup screen. The user must complete required fields in the Search

Reason area. The user should input the Search Purpose, Search Reason, and Search on Behalf of fields as if they were conducting a Keyword, Advanced, or Targeted Search. Section 4.2.1: Filters Tab—Search Reason Area provides a detailed explanation of these requirements.

The user must enter a descriptive query name that identifies this specific batch query. The Query Name field is a free text field. Users may name the query using alphanumeric and special characters (such as spaces, hyphens, etc.); however, query names are limited to 100 characters and must be unique. The user should select a template from the templates menu (see Figure 5-1 Batch Query Tab). The custom-created CSV template (after being saved) is available on this menu (see Figure 5-16 Saved Custom CSV Template). On the menu, a user clicks a template option to highlight it and place that selection in the Query Templates field for use.

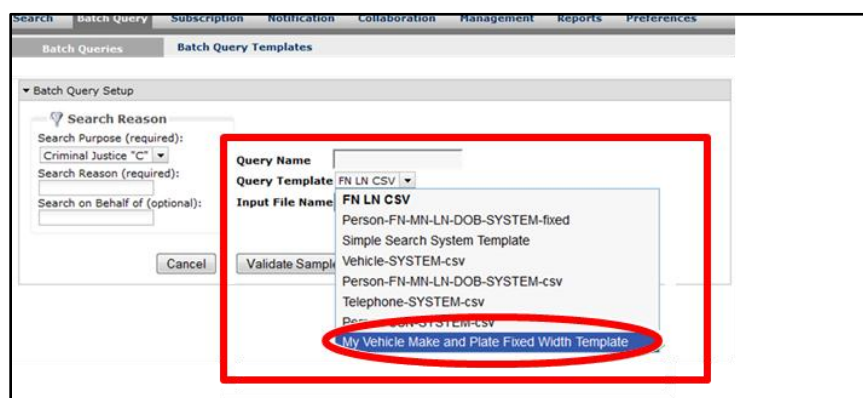


Figure 5-16 Saved Custom CSV Template

Next, the user should click on the Browse button, scroll through the user's documents library, and select the desired file by double clicking on the file name or single clicking on the file name and then clicking the Open button. The file will appear in the Input File Name field.

After selecting the file to upload, the user can click on the Save and Add to Queue button which saves the batch query, adds it to the queue, and initiates a search of N-DEX for the criteria contained in the input file.

However, a user may not want to add the batch query to the queue immediately and may want to further edit specific filters for the query. In this case, the user should click on the Save button which saves the query but doesn't add it to the queue for the system to pick up and search; see detailed instructions in Section 5.4: Save a Batch Query.

Additionally before searching, it is recommended that the user validate a subset of the input file list as a sample query. Validating a sample query helps the user ensure it is properly formed to search N-DEX; see detailed instructions in Section 5.3: Validate an Input File Sample.

5.2.2.2 Create a Fixed-Width Template

After deciding on a people, vehicles, or telephone numbers entity search type, to customize a template in the fixed-width format, users should click Fixed-Width Radio button on the New Batch Query Template screen (see Figure 5-17 Fixed-Width Format).

Batch Query Templates

▼ New Batch Query Template

People **Vehicles** TelephoneNumbers

☐ CSV ☒ **Fixed-Width**

Column	Use	Start	End
Vehicle Make	☐		
Vehicle Model	☐		
Vehicle Color	☐		
Vehicle Style	☐		
Vehicle Year	☐		
Vehicle License Plate Number	☐		
Vehicle License Plate Jurisdiction	☐		
Vehicle_VIN	☐		
Keywords	☐		
Any Of These Terms	☐		
This Exact Wording Or Phrase	☐		
All Of These Terms	☐		
Do Not Show Pages With These Words	☐		

Name:

Figure 5-17 Fixed-Width Format

Available search criteria options (which correspond to the selected search type) are provided under Column. For example, using the Vehicles type, a user can select search parameters such as vehicle make, model, style, year, and license plate number, among others. Users can scroll through the list to see all available options.

In the Use column, a user makes search criteria selection(s) by checking the box(es) and composes a custom template (see Figure 5-18 Create a Fixed-Width Template). After specifying which search criteria will be used, the user should designate the order based on the start and end positions of a single line in the input file. The user should enter a numeric start position in the Start column, and a numeric end position in the End column. Numeric characters must be typed in both the Start and End fields. For instance, if a file is set up as last name and then first name, the order needs to be the same when creating the template. The start and end positions refer to the amount of space allowed for each input (i.e., if the last name fixed width is 25 spaces, the user should enter the start position as 1 and the end position as 25). Once the user creates a query, he/she may wish to validate a sample of the query to ensure that the query is properly formed; see detailed instructions in Section 5.3: Validate an Input File Sample.

Batch Query Templates

▼ New Batch Query Template

People Vehicles TelephoneNumbers

☐ CSV ☒ **Fixed-Width**

Column	Use	Start	End
Vehicle Make	☒	5	12
Vehicle Model	☐		
Vehicle Color	☐		
Vehicle Style	☐		
Vehicle Year	☐		
Vehicle License Plate Number	☒	1	3
Vehicle License Plate Jurisdiction	☐		
Vehicle_VIN	☐		
Keywords	☐		
Any Of These Terms	☐		
This Exact Wording Or Phrase	☐		
All Of These Terms	☐		
Do Not Show Pages With These Words	☐		

Name: Save Cancel

Figure 5-18 Create a Fixed-Width Template

The phrase “My new query template” is the default phrase in the Name field. The user should create a name for his/her template and enter it in the Name field. It is recommended that the name include both the primary search criteria and the input file format. The template name should be descriptive and include the primary search criteria and input file format. The template name field is a free text field and users may name the query using alphanumeric and special characters (such as spaces, hyphens, etc.); however, query names are limited to 100 characters and must be unique. While not required, this will make it easier for the user to distinguish between templates.

The last step in creating a custom fixed-width template requires the user to click the Save button to retain the query. A pop-up window displays and confirms the query was saved. The user must click the OK button to close the window and return to the Batch Query Templates screen.

User-created templates can be saved and utilized for future batch queries that contain the same search criteria. If the user clicks the Cancel button, N-DEx will not create nor save the query, and the user’s actions will be lost.

The newly created custom template will be visible on the list of available templates (see Figure 5-19 Saved Fixed-Width Template). Users can review the custom template criteria by using the View icon .

Template Name	Template Type	Edit	View	Delete
My Vehicle Make and Plate Fixed Width Template	Custom			
Person-FN-MN-LN-DOB-SYSTEM-csv	System			
Vehicle-SYSTEM-csv	System			
Simple Search System Template	System			
Person-FN-MN-LN-DOB-SYSTEM-fixed	System			
Person-SSN-SYSTEM-csv	System			

[New query template](#)

Figure 5-19 Saved Fixed-Width Template

To use a custom created fixed-width template, users should follow the steps previously provided for other template types.

5.2.2.3 Edit or Delete an Existing Custom Template

Users can edit or delete user-created templates. Users cannot edit or delete system templates. To make edits or deletions, users must wait until the custom template is not being used as part of an active query.

To edit a custom template, the user should click the Edit icon  for that specific template (see Figure 5-20 Edit a Custom Template). The Edit Batch Query Template screen displays and the user can change the template criteria. Not only can the user change the query criteria, the user can also change the template type from fixed width to CSV or from CSV to fixed width. However, if the user changes the query from one type to another, the user must ensure that the template criteria are met (i.e., if changing from a CSV file to a fixed-width file, the user must ensure that each field contains a start position and an end position).

Template Name	Template Type	Edit	View	Delete
FN LN CSV	Custom			
My Vehicle Make and Plate Fixed Width Template	Custom			
Person-FN-MN-LN-DOB-SYSTEM-csv	System			
Vehicle-SYSTEM-csv	System			

[New query template](#)

Figure 5-20 Edit a Custom Template

After the user has made all the desired changes, the user should click on the Save button to retain the edits. Saving the file overrides the previously existing custom template. A pop-up window displays, and the user must click OK to confirm and return to the Batch Query Templates list (see Figure 5-21 Save Custom Template Edits).

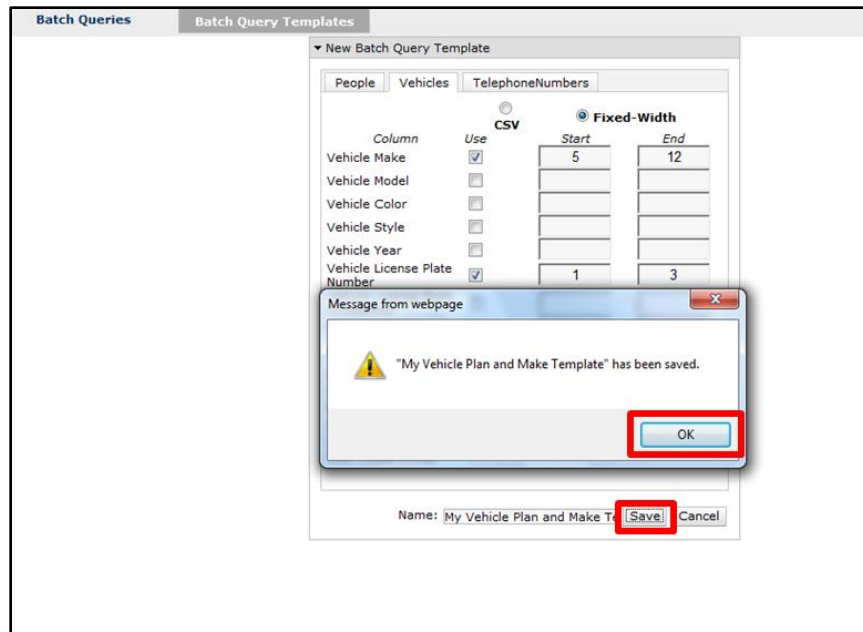


Figure 5-21 Save Custom Template Edits

To delete a custom template, the user should click the Delete icon . A pop-up window displays, and the user must click OK to confirm the deletion and return to the Batch Query Templates list. Once deleted, the custom template will no longer appear on the list of available templates.

5.3 Validate an Input File Sample

To ensure that an input file is properly formed, the user may want to validate a subset of the input file before initiating a batch query. To perform a sample query, the user can click the Batch Queries sub-tab and the New Query Setup Button which displays the Batch Query Setup window (see Figure 5-22 Validate Sample). After selecting the search purpose, entering a search reason, naming the query, selecting the query template to be used, and browsing to locate and select the input file name (which now displays in the Input File Name field), the user must click the Validate Sample button (see Figure 5-22 Validate Sample).

Batch Query Setup

Search Reason

Search Purpose (required):
Criminal Justice "C"

Search Reason (required):
Test

Search on Behalf of (optional):

Query Name: FNLN53

Query Template: FN LN CSV

Input File Name: Browse... BQ_Test_FN_LN_53-2.csv

Buttons: Cancel, Validate Sample, Save, Save and Add to Queue

Sample Validation Result:

Search Text	Status	View Full Text
Yvette,AGUILAR	valid	
Yvette,AMADOR	valid	
Yvette,BYNUM	Invalid	
YVETTE,CASTILLO	valid	
Yvette,OLIVER	valid	

Figure 5-22 Validate Sample

Once the user clicks the Validate Sample button, N-DEx initiates a sample query using the first few lines of the input file, and the validation results appear in the Sample Validation Result. If the sample input file passes validation, in the Sample Validation Result area, the Status column will reflect “Valid.” With confirmation of a valid input file, the user can now initiate the batch query by clicking the Save and Add to Queue button.

If the sample input file fails validation, the status will reflect “Invalid” (see Figure 5-22 Validate Sample). If an input file fails validation, the user should review the query to ensure it is formed according to the file format of the Batch Query template file selected. To see the search criteria for a particular line in the file, the user should click “View Full Text.” This feature allows the user to see what N-DEx used as the search criteria for that particular line on the batch query file.

Once the user reviews the invalid sample query, the user must determine the nature of the error (whether it was in the template or in the file itself). For example, if a file is set up as first name then last name but the user chose a template for last name then Social Security Number, the file will fail. In this case, the user must either choose the correct template or create one if it doesn’t exist.

5.4 Save a Batch Query

If the user doesn’t want to add the batch query to the queue to be immediately searched, the Save button can be clicked. Clicking the Save button saves the query but doesn’t add it to the queue or initiate the search.

When the user saves the Batch Query setup, it will appear on the list of batch queries on the Batch Query tab. The saved batch query will reflect a status of “Loaded” but will not begin to search the system until the user adds it to the queue (see Figure 5-23 Saved Batch Query—Status “Loaded”).

Batch Queries

Batch Query allows you to automate large numbers of searches by specifying search criteria templates and then uploading files containing rows of parameters to run against those templates. For example, if you would like to run searches for 100 different names, you could create a search template that specifies that it will accept first and last name parameters, create and upload a CSV file containing the 100 names, and then add your batch query to the system's batch query queue. Click on "New Query Setup" to get started.

User ID: Status: From: To:

There are 1 batch queries that have not yet started (either "Loaded" or "In-Queue").

Query ID	Query Name	Created Date	Last Run Time	Status	% Complete	Owner	Action	Del/Unsub	Edit
185	Acme Personnel List	02/10/2014	N/A	Loaded	0%	LEO123456			
170	View Query Template	02/07/2014	02/08/2014 10:12	Complete	100%	LEO123456			
156	View Query Template	12/16/2013	12/16/2013 10:12	Complete	100%	LEO123456			

Figure 5-23 Saved Batch Query—Status “Loaded”

5.5 Edit a Saved Batch Query

If a batch query is in the “Loaded” status, the user can edit that query to further refine settings and filters (i.e., settings that did not appear on the initial setup screen). To edit a batch query, the user clicks the Pencil icon in the Edit column for the desired query name (see Figure 5-24 Edit a Loaded Batch Query). Clicking this icon displays the Edit Batch Query screen.

Batch Queries

Batch Query allows you to automate large numbers of searches by specifying search criteria templates and then uploading files containing rows of parameters to run against those templates. For example, if you would like to run searches for 100 different names, you could create a search template that specifies that it will accept first and last name parameters, create and upload a CSV file containing the 100 names, and then add your batch query to the system's batch query queue. Click on "New Query Setup" to get started.

User ID: Status: From: To:

There are 1 batch queries that have not yet started (either "Loaded" or "In-Queue").

Showing: 1 - 1 Total: 1

Query ID	Query Name	Created Date	Last Run Time	Status	% Complete	Owner	Action	Del/Unsub	Edit
1355	Persons of Interest	10/24/2013	N/A	Loaded	0%	LEO123456			

Figure 5-24 Edit a Loaded Batch Query

From the Edit Batch Query screen, a user can edit the name of the batch query, apply query filters, set up the query up to run recurring searches, and/or share the batch query with other user(s), enabling read-only viewing permission to the shared batch query (see Figure 5-25 Edit Batch Query Screen). When the user edits the name of the batch query, it is important to remember that the Query Name field is a free text field; alphanumeric and special characters are permitted, but query names are limited to 100 characters and must be unique.

Edit Batch Query

Query Name:

☒ Update batch query results every

Batch query will retrieve:

☒ All search result count

☐ Only changed search result counts since last run

Share batch query with: ...

Additional Filters [clear](#)

Geographic Location

Date

Data Sources

[+] ☒ Federal

[+] ☒ Southern Region

[+] ☒ Western Region

[+] ☒ Northeastern Region

[+] ☒ North Central Region

Result Filters

[Filter by ORI...](#)

[+] ☒ Report Types

Save **Cancel**

Figure 5-25 Edit Batch Query Screen

5.5.1 Edit a Batch Query Name and/or Additional Filters

To edit the name of the batch query, a user clicks in the Query Name field and types the new batch query name. The user must click the Save button to retain the name change.

Users can also use the edit Batch Query feature to apply the same filters to a specific batch query that are available when performing a Keyword or Targeted search. Users can apply filters to batch queries that will narrow that specific batch query. Section 4.2: Search Screen Tabs provides specific details on utilizing filters. After making filter selections, a user must click the Save button to apply them to the batch query. If the user clicks the Cancel button, the user's actions will be lost.

5.5.2 Set a Recurring Batch Query

By default, all batch queries are a one-time query. To edit a batch query's frequency and configure it to run on a recurring basis, the user must select the "Update batch query results every" option on the Edit Batch Query screen and select Day, Week or Month from the drop down arrow (see Figure 5-26 Recurring Batch Query).

Figure 5-26 Recurring Batch Query

If the user selects the Update Daily/Weekly/Monthly option, it is important to remember that N-DEx automatically applies a date filter to the query results. The search results returned will be ordered according to the selection. To negate the filter and return results to their initial order, the user should click the Reset button on the search results screen (see Figure 5-36 Search Results for a List Item).

By default, N-DEx returns all search result counts each time a batch query recurs. A user can change the default setting to show only the changed search result counts since the previous run by clicking the corresponding Radio button ☒ (see Figure 5-25 Edit Batch Query Screen). The user must click the Save button to apply the selections.

5.5.3 Share a Batch Query

From the Edit Batch Query screen, the batch query creator can share query results with other user(s). A shared user has read-only viewing permission for the shared query. The shared user can review the results from the query, but the shared user cannot perform any other actions (i.e., start, stop, pause, delete, or edit) for that batch query.

To share the batch query results with other users, the batch query creator user should click the Ellipse button in the Share Batch Query With area to display the Share Batch Query with Users screen (see Figure 5-27 Share Batch Query Results with Users).

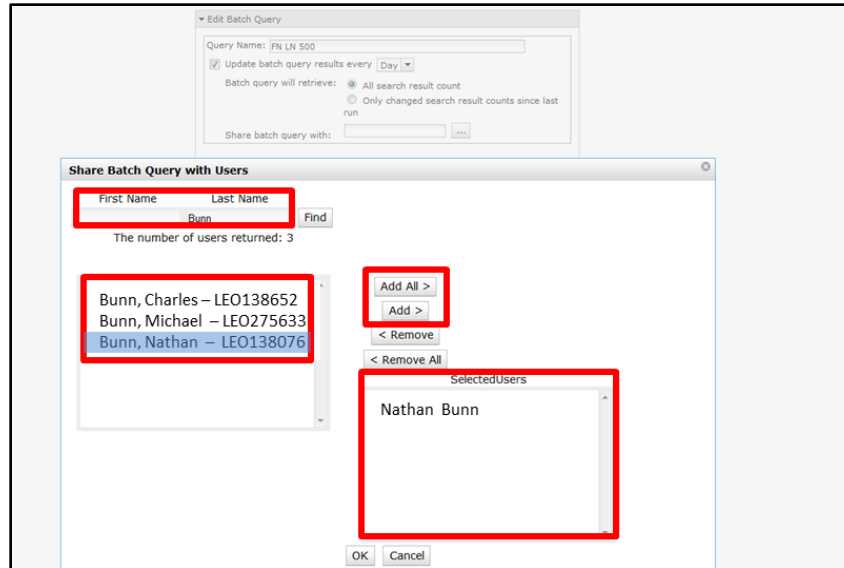


Figure 5-27 Share Batch Query Results with Users

To locate a system user(s) to share the query results with, the query creator should enter a first name and a last name in the respective fields and click the Find button. In the left window, N-DEx produces a list of system users that match the criteria. The query creator can scroll through the results and select one person by clicking on the name(s) to highlight it. To select multiple persons, the user should click and hold the Control button while selecting the names. The query creator can add the individual(s) to the Selected Users window by clicking the Add button **Add >** for a single selection, or the Add All button **Add All >** for multiple selections (see Figure 5-27 Share Batch Query Results with Users).

To remove a selected user(s), the query creator should highlight one or more names and click the Remove button **< Remove** for a single selection, or the Remove All **< Remove All** button for multiple selections.

After making all desired selections, the query creator must click the OK button. Clicking the OK button saves the selected users and returns the user to the Edit Batch Query screen. For that specific batch query, all users in the Selected Users window will be able view the query results. Any shared user can unsubscribe from receiving the batch query results. Shared users can remove themselves from the shared batch query by clicking on the Delete/Unsubscribe, or Trash Can icon , on the Batch Query screen (see Figure 5-28 Batch Query Screen—Delete/Unsubscribe). A shared user can unsubscribe from multiple batch queries at one time.

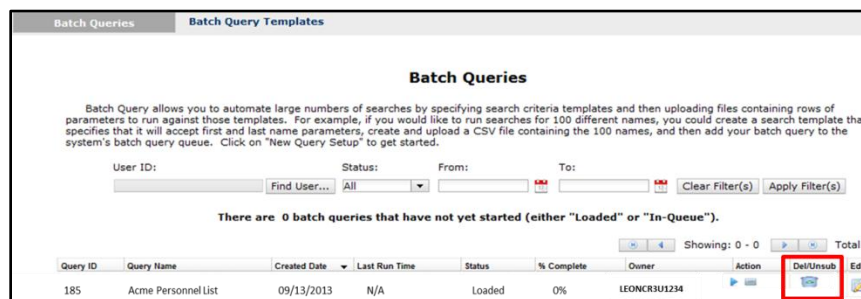


Figure 5-28 Batch Query Screen—Delete/Unsubscribe

5.5.4 Delete a Batch Query

It may be necessary for a user to delete a setup batch query. Users may also delete completed batch queries if the results are no longer valuable. To delete a batch query, the user should select that batch query and click on the delete/unsubscribe or Trash Can icon  on the Batch Queries screen (see Figure 5-28 Batch Query Screen—Delete/Unsubscribe). When the user deletes a batch query, the query will no longer appear in the user's list on the Batch Queries screen.

5.6 Initiate a Batch Query

Whether a user elects to use an N-DEx system template or create a custom template, after uploading the file on the Batch Queries Setup screen, the user can click on the Save and Add to Queue button or the Save button.

When the user clicks on the Save and Add to Queue button, N-DEx saves the batch query, adds it to the queue, and initiates a search for the criteria in the input file (see Figure 5-10 Batch Query Setup Buttons). When N-DEx adds the query to the queue, the Status column reflects In Queue until N-DEx picks up the query to begin searching when the Status column will change to In Progress.

When the user clicks on the Save button, N-DEx will save the query but will not add it to the queue. This allows the user to edit the query and to run it at a later time.

A Saved Batch Query appears on the Batch Query list in a Loaded status. The user must add the query to the queue before the job will start. To add a Loaded query to the queue and initiate a Batch Query Search, the user must click on the Play icon  in the Action column (see Figure 5-29 Add a Batch Query to the Queue).

The status will change from Loaded to an In Queue status. The Status column reflects In Queue until N-DEx picks up the query to begin searching, at which point the status changes to In Progress.

The Status column on the Batch Queries screen keeps users up-to-date on the progress of each batch query; see detailed instructions on various statuses in Section 5.7.2: Batch Query Status.

							Showing: 1 - 1 Total: 1		
Query ID	Query Name	Created Date	Last Run Time	Status	% Complete	Owner	Action	Del/Unsub	Edit
1355	Persons of Interest	10/24/2013	N/A	Loaded	0%	LE0123456			

Figure 5-29 Add a Batch Query to the Queue

N-DEx conducts batch queries in one of two timeframes depending upon the uploaded file size. Fast Queue searches query uploaded files that contain 199 lines or less of search criteria. Fast Queue searches run 24 hours a day and 7 days a week. Slow Queue searches query uploaded files that contain 200 lines or more of search criteria. Due to the file size, large queries are performed only during system off-peak hours between 8 p.m. and 8 a.m. ET, 7 days per week.

5.7 Batch Queries Screen Information

On the Batch Queries screen, all batch queries that a user has access to, including queries that have not started, are in-progress, have completed, and/or have been shared by another user, are displayed with the following information:

- a. Query ID.
- b. Query Name.
- c. Created Date.
- d. Last Run Time.
- e. Status.
- f. Percentage (%) Complete.
- g. Owner (User ID of the query creator).
- h. Action (Initiates a query and restarts a paused or stopped query).
- i. Delete/Unsubscribe.
- j. Edit.

5.7.1 Query ID, Query Name, Created Date, Last Run Time, and Owner

The Query ID is a unique number assigned by N-DEx to each batch query. If a user experiences a technical problem with a particular batch query and calls the N-DEx Program Office (PO) help desk, the user will need to furnish the Query ID number. The query name is the name the user created for the query. Query names distinguish one query from another. The created date is the month, day, and year the query was created. The Last Time Run column displays the most recent month, day, and year that N-DEx performed either the initial or the recurring queries. Queries that are saved and added to the queue but that have not run will show a Last Run Time of not applicable (N/A). The Owner column reflects the unique system user ID of the batch query creator. If a user experiences a technical problem with a particular batch query and calls the N-DEx PO help desk, the user may need to furnish his/her system user ID number.

5.7.2 Batch Query Status

- a. **Loaded:** This status indicates an input file (i.e., a list of search criteria) was uploaded into N-DEx, but has not been added to the queue. In this status, a user can edit the query criteria or delete the query from both the queue and the system entirely.
- b. **In-Queue:** This status indicates the query has not started. When a query is In-Queue, the user can stop the query, which will change its status to Loaded. Users cannot edit a batch query when it is In-Queue status. The user must stop the batch query which returns it to a loaded status for editing.
- c. **In-Progress:** This status indicates the query criteria are being searched. When a query is In-Progress, the user can either stop the query or pause it, but cannot edit or delete it.
- d. **Paused:** This status indicates the query is no longer being searched. The user can restart the query, and it will resume from the point it was paused. The user can stop the query in a Paused status, but the user cannot edit or delete a paused query.
- e. **Stopped:** This status indicates the query has been stopped. The user can restart a stopped query. A restarted query will start at the beginning of the list. The user can edit or delete the query in the stopped status.
- f. **Completed:** This status indicates N-DEx has completed searching the uploaded file criteria. When the status is completed, the Percentage (%) Complete column will display 100%. The user can delete a batch query in the completed status. The user can delete the query before it is 100% complete, but the user will first need to stop the query.
- g. **Failed:** N-DEx attempts to run every batch query. If unable to do so, the failure will be indicated in the status column on the Batch Query screen. This status indicates N-DEx was unable to search the uploaded file. A batch query can fail for several reasons: the

input data were not properly formatted, the file was corrupt, or a system problem existed. Validating a sample of the input file prior to initiating the query helps to avoid a failed status. The user can delete the query in this status.

5.7.3 Percentage Complete

The Percentage (%) Complete column reflects how much of the query N-DEx has completed. Users may review results before N-DEx completes searching (i.e., before the percentage reaches 100%), thus accelerating access to investigative information. However, users should be aware when viewing incomplete results that the results are accurate as of the date and time reviewed. It is recommended if incomplete results are viewed, that the user return and review the result(s) when the status is Completed.

Users can wait until the entire batch job is finished to view statistics and individual results. Either option enables viewing the query results at the user's convenience.

5.7.4 Action, Delete/Unsubscribe, and Edit Icons

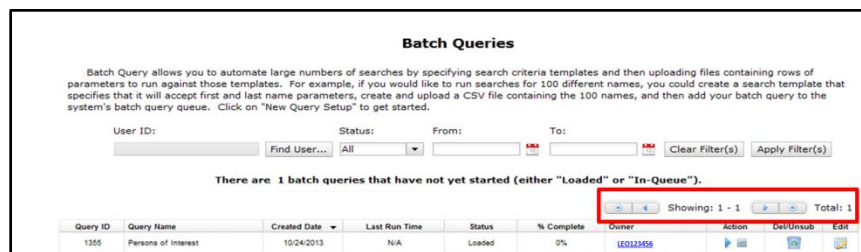
Several tools are available on the Batch Query screen under the Action column. The user should click on the Play icon  to initiate a batch query. To restart a paused query, the user should click on the right facing arrow and select the icon from the drop down menu. A paused query will not restart from the beginning of the search but will resume from the point the search was paused. To restart a stopped query, the user should click on the right facing arrow and select the icon from the drop down menu. A stopped query will restart from the beginning of the search.

The user should click on the Delete/Unsubscribe icon  to delete a set up batch query or a completed batch query if the results are no longer valuable or to unsubscribe to a share query.

The user should click on the Edit icon  to further refine query settings and filters.

5.7.5 Batch Query(ies) List Navigation & Filter Tools

The batch queries list could span several pages depending upon how many queries a user has access to view. N-DEx displays 10 batch queries per page. When more than one page exists, navigation controls facilitate user movement through the list of queries (see Figure 5-30 Batch Query Page Navigation). The arrow keys enable the user to move to the next page, the previous page, the first page, and/or the last page of the list.



Batch Queries

Batch Query allows you to automate large numbers of searches by specifying search criteria templates and then uploading files containing rows of parameters to run against those templates. For example, if you would like to run searches for 100 different names, you could create a search template that specifies that it will accept first and last name parameters, create and upload a CSV file containing the 100 names, and then add your batch query to the system's batch query queue. Click on "New Query Setup" to get started.

User ID: Status: From: To:

There are 1 batch queries that have not yet started (either "Loaded" or "In-Queue").

Query ID	Query Name	Created Date	Last Run Time	Status	% Complete	Owner	Action	Del/Unsub	Edit
1355	Persons of Interest	10/24/2013	N/A	Loaded	0%	LE012356			

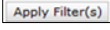
Showing: 1 - 1 Total: 1

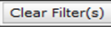
Figure 5-30 Batch Query Page Navigation

By using filters, a user can narrow the list of batch queries for ease of viewing. The batch queries list can be filtered by query status or by date.

To filter the list by status, a user should click the down arrow in the Status box which displays a menu of status options (i.e., All, Loaded, In-Queue, In-Progress, Paused, Stopped, Complete, and

Failed). For example, to view completed queries, a user should select Complete from the filter Status menu. Once the user has made a selection, the user should click the Apply Filter(s) button  (see Figure 5-31 Batch Query List Filters).

To filter the list using a range of dates, the user should select a From date and a To date by clicking the respective Calendar icons . By clicking a date on either calendar places that date in the respective From or To fields. With a date in both fields, a date range is established for the filter. The Last Run Time date is the date to which the “end date” is applied. The User ID field  displays the batch query creator’s N-DEx user identification. The user must click the Apply Filter(s) button  to filter the list. The date range filter displays only those queries that were run between the selected dates. The user can change the order of the filter results (ascending or descending) by clicking on the Date box.

To clear any filters and display all queries the user has access to, the user should click the Clear Filter(s) button .

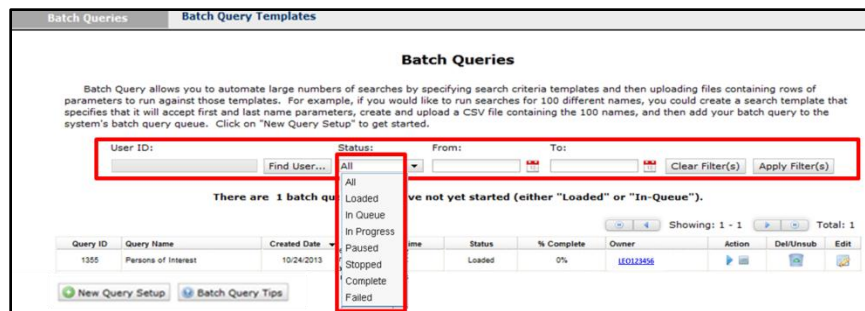


Figure 5-31 Batch Query List Filters

5.8 Batch Query Results

The statistics and individual results from a batch query can be viewed when it’s completed. The user will receive real time notification of the results of a batch query on the Notification Inbox screen and/or can check the query status on the Batch Queries screen. A completed status and 100% indicate N-DEx searched all items in the batch query file. Users may review results while the query is in progress; however, there must be more than 0% in the Percentage % Completed column.

To view search result counts for a particular batch query, the user should click on the name in the Query Name field which will display the Search Result Counts screen (see Figure 5-32 View Batch Query Search Result Counts).

		1 - 1		Total: 1					
Query Name	Query Id	Open Date	Last Run Time	Status	% Complete	Owner	Action	Delete	Edit
Acme Personnel List	186	03/13/2012	03/13/2012 11:03	Complete	100%	LEOINCR3U1234			

Figure 5-32 View Batch Query Search Result Counts

On the Search Result Counts screen, a statistics summary displays for completed batch queries. If the status of the batch query is In Progress, the statistic will be a 0 (zero) until completed. The

summary displays the following information (see Figure 5-33 Statistics for a Completed Batch Query):

- Query Summary:** This statistic reflects the total number of searches N-DEx performed from the batch query file; the total number of those searches that returned results; and the total number of those searches that produced 0 (zero) results.
- Search Result Counts Summary:** Based on all search criteria provided in the batch query file, this statistic reports the cumulative number of record results N-DEx returned.

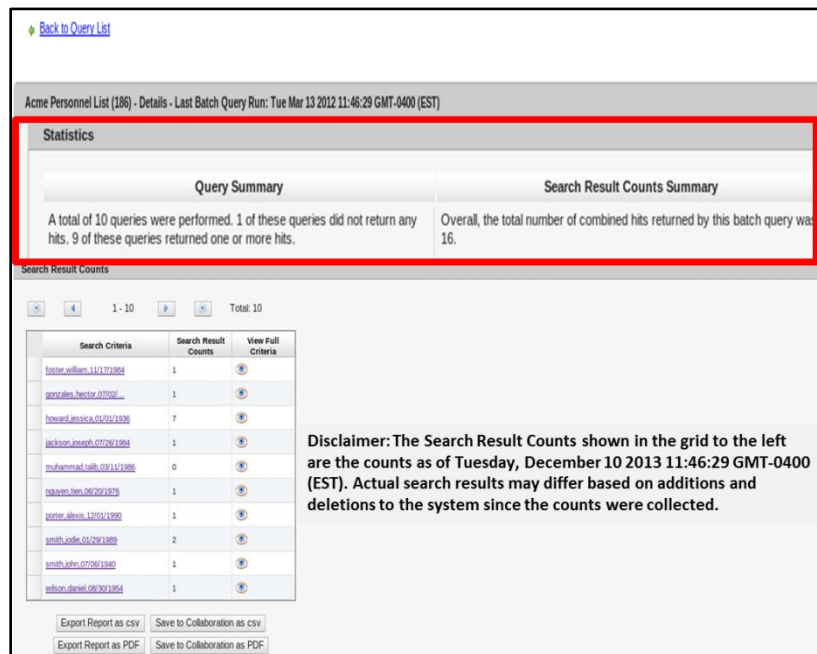


Figure 5-33 Statistics for a Completed Batch Query

Utilizing the search result counts area for a batch query, users can:

- Browse the result count for each individual list item from the uploaded file.
- Launch a real-time search of a selected criterion to view N-DEx result(s).
- Sort the Batch Query list items and results.
- Filter a list item(s) result(s).
- Export a summary of the result counts to a CSV or a Portable Document Format (PDF) file and/or save the results in the N-DEx Collaboration area.

5.8.1 Browse Individual List Items

The Search Result Counts screen displays an identifier for each list item from the user's uploaded file in the Search Criteria column. This easy-to-read alphanumeric identifier reflects each item used as a query parameter. To see the search criteria used in the batch query, the user should click on the View Full Criteria icon (see Figure 5-35 Perform a Search/View Full Criteria).

The Search Result Counts column displays the number of records N-DEx returned that matched each search parameter in the query (see Figure 5-34 Search Result Counts). List items in the batch will show 0 (zero) in the counts column when no N-DEx results returned.

Search Result Counts

1 - 10 Total: 10

Search Criteria	Search Result Counts	View Full Criteria
foster.william.11/17/1984	1	
gonzales.hector.07/09/...	1	
howard.jessica.01/01/1936	7	
jackson.joseph.07/26/1984	1	
muhammad.talib.03/11/1995	0	
nguyen.tien.06/20/1976	1	
porter.alexis.12/01/1990	1	
smith.jodie.02/29/1989	2	
smith.john.07/06/1940	1	
wilson.daniel.08/30/1954	1	

Disclaimer: The Search Result Counts shown in the grid to the left are the counts as of Tuesday, December 10 2013 11:46:29 GMT-0400 (EST). Actual search results may differ based on additions and deletions to the system since the counts were collected.

Export Report as csv Save to Collaboration as csv
Export Report as PDF Save to Collaboration as PDF

Figure 5-34 Search Result Counts

However, if the batch query is a recurring batch query and was previously run, the Search Result Counts column will be labeled Search Result Count Changes. In this case, the change in counts since last query run will appear instead of the total result. In the case of recurring batch queries, a 0 (zero) count reflects that the search result count did not change between the previous and most current query run. **It does not mean there were no search results for this item.**

It is also important to note, the search result count numbers are accurate as of the date and time the batch query was run and results returned. To view the result(s) returned for any search parameter included in the batch, a user must click on a list item(s) in the Search Criteria column. Each list item in the column serves as a link to perform a current search using that parameter and displays search results so a user can view and determine the result's relevance to the case or event.

5.8.2 Perform a Search Using a List Item

Browsing the counts enables a user to discern which query items returned results, and therefore, what result(s) to review. To review the actual results for one or more of the queries on the list, a user should click on the list item Query Name/Identifier link to initiate an N-DEx search (as though the user entered the search manually) (see Figure 5-35 Perform a Search/View Full Criteria). The results are displayed (see Figure 5-36 Search Results for a List Item).

Search Criteria	Search Result Counts	View Full Criteria
foster,william,11/17/1964	1	
gonzales,hector,07/02/...	1	
howard,jessica,01/01/1936	7	
jackson,joseph,07/26/1984	1	
muhammad,talib,03/11/1986	0	
nguyen,bien,06/20/1976	1	
porter,alexis,12/01/1990	1	
smith,jodie,01/29/1989		
smith,john,07/06/1940		
wilson,daniel,08/30/1954		

Export Report as csv
Export Report as PDF

Figure 5-35 Perform a Search/View Full Criteria

For example, clicking the Batch Query list item of Foster, William, 11/17/1964 will display the result returned (see Figure 5-36 Search Results for a List Item).

The search result count may differ from the search result count reported from the batch job because some records may have been added or removed since the last time the batch job was run. An appropriate disclaimer is displayed to reflect any potential disparity.

Records by Submission Date From: To:

Results 1 to 1 of 1 for person[william foster, DOB: 11/17/1984]

☐ **CLEVELAND PD - Incident Report - 2006-04-10**

End Date: 2006-04-10 doc Ref Id: I+1348862 Location: Cleveland, OH Offense: aggravated assault Start Date: 2006-04-10

WILLIAM C FOSTER, William C Foster; Black male Subject; birthdate 1984-11-17; height 74 in; weight 140 lb ... [view narrative...](#)

record id: I+1348862

Figure 5-36 Search Results for a List Item

5.8.3 Sort Query List Items and Search Result Counts

Batch Query list items are sorted in the Search Criteria column in alphabetical order based on the item name text. By clicking on the Search Result Counts heading, the list items will be sorted based on search result counts. If the user clicks the heading more than once, the results order is reversed; clicking the column heading a second time returns to the default sort based on the item name.

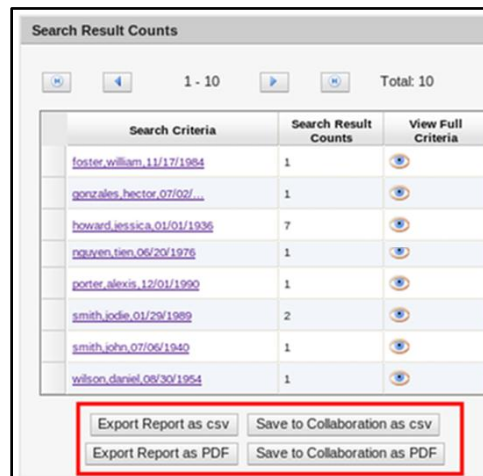
5.8.4 Filter Search Result(s)

Whether the batch query is a one-time query or a recurring query, a user can filter search results based on when the record was submitted to N-DEx to be indexed into search. Filtering by submission date gives a user the ability to view either the most recent information or older records. To filter search results using the submission date, a user should click on the From field and select a starting date from the Calendar icon . The user should repeat the process for the To field to select an ending date. The user should then click on the Apply Filter button  which resubmits the query. N-DEx will return records that meet the date range filter (see Figure 5-36 Search Results for a List Item).

When setting a recurring batch query, if the user selected the Update Daily/Weekly/Monthly option, it is important to note that N-DEx will automatically apply a date filter to the search results returned. To negate the filter and return results to their initial order, the user should click the Reset button  on the search results screen.

5.8.5 Export Search Result Counts and/or Save in Collaboration

Users can export search result counts to a CSV or PDF format. In addition, users can save search result counts as a CSV or PDF file to the N-DEx collaboration area (see Figure 5-37 Export Search Result Counts).



The screenshot shows a web interface titled "Search Result Counts". At the top, there are navigation buttons (back, first, 1 - 10, last, forward) and a "Total: 10" indicator. Below this is a table with three columns: "Search Criteria", "Search Result Counts", and "View Full Criteria". The table contains eight rows of data, each with a link to the search criteria, a count, and a magnifying glass icon. At the bottom of the table, there are four buttons: "Export Report as csv", "Save to Collaboration as csv", "Export Report as PDF", and "Save to Collaboration as PDF". These buttons are highlighted with a red rectangle.

Search Criteria	Search Result Counts	View Full Criteria
foster.william.11/17/1984	1	
gonzales.hector.07/02/...	1	
howard.jessica.01/01/1936	7	
nguyen.tien.06/20/1976	1	
porter.alexis.12/01/1990	1	
smith.jodie.01/29/1989	2	
smith.john.07/06/1940	1	
wilson.daniel.08/30/1954	1	

Figure 5-37 Export Search Result Counts

5.8.5.1 Export Batch Query Results to a CSV File

On the Batch Queries screen for completed batch queries, the user clicks on the Query Name link to open the Search Result Counts for that query. To export Batch Query Search result counts as a CSV file, the user should click on the Export Report as CSV button  (see Figure 5-37 Export Search Result Counts). A pop up window will display providing users an option to open the query or save the file.

Users can choose to open and view the results in a spreadsheet by selecting the Radio button  beside Open With, then clicking the down arrow and selecting the desired software. Microsoft Excel[®] displays as the default software option (see Figure 5-38 Export Batch Query Results as a CSV File). After making the selection, the user must click the OK button, which will open the

spreadsheet in a separate window. Users can view a summary of the batch query results as well as details for the individual search criteria that made up the batch query.

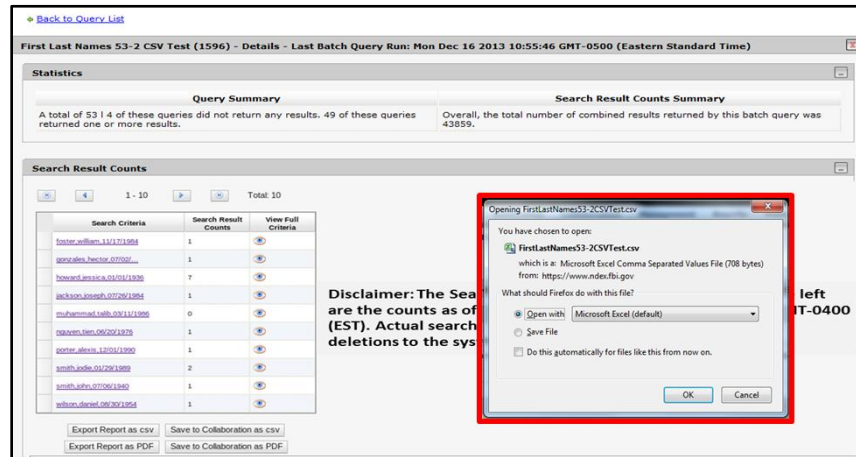


Figure 5-38 Export Batch Query Results as a CSV File

Users can choose to save the results by selecting the Radio button ☐ beside Save File (see Figure 5-38 Export Batch Query Results as a CSV File). After making the selection, the user must click the OK button, which displays a pop up window. In this window, the user can make selections where to save the file to and the type of file format (see Figure 5-39 Export Batch Query Results and Save as a CSV File). The user must click the Save button to save the batch query results as a CSV file. After saving the file, the user is returned to the Batch Query Summary Result Counts screen.

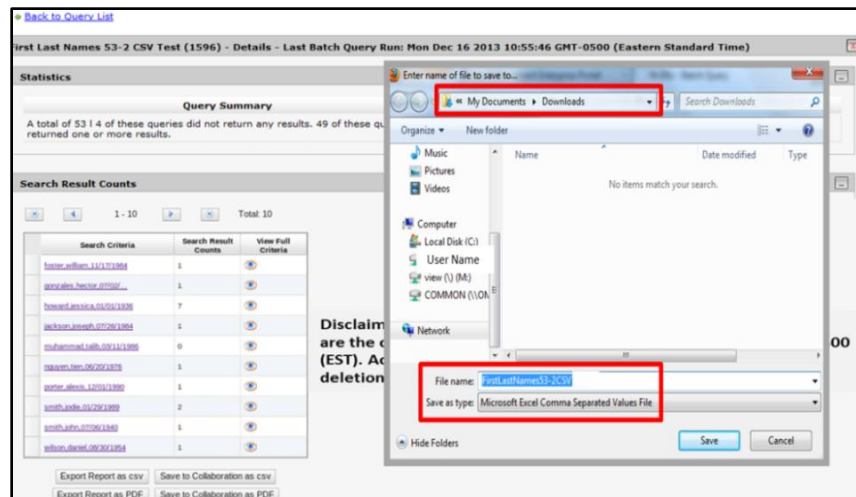


Figure 5-39 Export Batch Query Results and Save as a CSV File

Users can locate the results (where they were saved) on their computers and access the file to view a summary of the batch query results as well as details for the individual search criteria that made up the batch query.

5.8.5.2 Export Batch Query Results to a PDF File

On the Batch Queries screen for completed batch queries, the user clicks on the Query Name link to open the Search Result Counts for that query. To export Batch Query Search Result Counts as

a PDF, the user should click on the Export Report as PDF button (see Figure 5-37 Export Search Result Counts). A pop up window will display providing users an option to open the query or save the file.

Users can choose to open and view the results by selecting the Radio button ☒ beside Open With, then clicking the down arrow and selecting the desired software. Adobe Acrobat® displays as the default software option (see Figure 5-40 Export Batch Query Results as a PDF). After making the selection, the user must click the OK button, which will open the PDF in a separate window. Users can view a summary of the batch query results as well as details for the individual search criteria that made up the batch query.

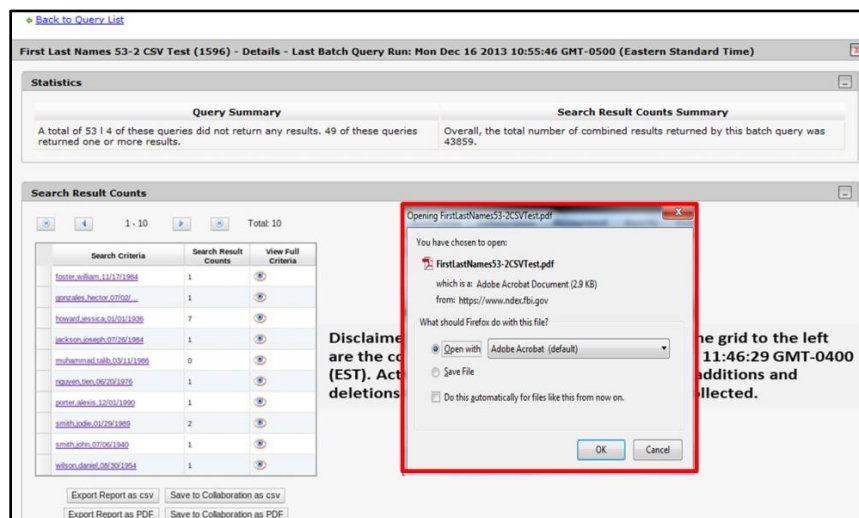


Figure 5-40 Export Batch Query Results as a PDF

Users can choose to save the results by selecting the Radio button ☐ beside Save File (see Figure 5-40 Export Batch Query Results as a PDF). After making the selection, the user must click the OK button, which displays a pop up window. In this window, the user can make selections where to save the file to and the type of file format (see Figure 5-41 Export Batch Query Results and Save as a PDF). The user must click the Save button to save the batch query results as a PDF. After saving the file, the user is returned to the Batch Query Summary Result Counts screen.

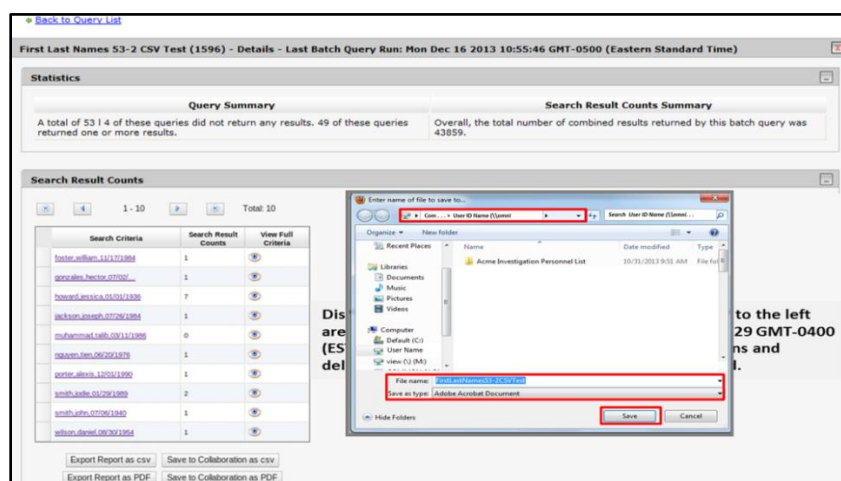


Figure 5-41 Export Batch Query Results and Save as a PDF

Users can locate the results (where they were saved) on their computers and access the file to view a summary of the batch query results as well as details for the individual search criteria that made up the batch query.

5.8.5.3 Save to Collaboration as a CSV File or a PDF File

On the Batch Queries screen, in the user's listing of for completed batch queries, the user clicks on the Query Name link to open the Search Result Counts for that query. To save the Batch Query Search result counts to the N-DEx Collaboration area (as either a CSV file or a PDF file), the user should click on the respective Save to Collaboration button (see Figure 5-37 Export Search Result Counts). A pop up window will display providing users an option to select the Collaboration site to save the results to (see Figure 5-42 Save Batch Query Results to Collaboration Site as CSV or PDF). Prior to saving batch query results, users should have created a site for that purpose in the Collaboration area of N-DEx. Detailed instructions on creating a Collaboration site are provided in Section 8.2: Create a New Collaboration Site.

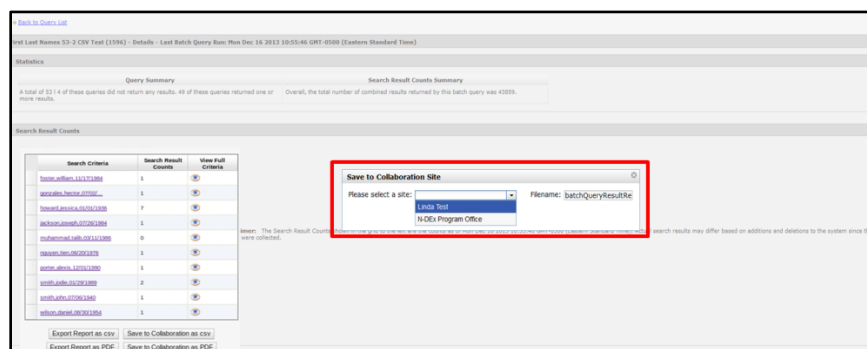


Figure 5-42 Save Batch Query Results to Collaboration Site as CSV or PDF

The File name is populated with the name from the batch query and includes the current date (the date the query is being saved). The user can enter a different name to better identify the query file, if desired, by typing over the default name in the File name field. After selecting the Collaboration site and file name, the user must click the OK button to save the batch query results to Collaboration. After clicking the OK button, N-DEx returns the user to the Search Result Counts screen. Users can locate the results where they were saved in their Collaboration site and access the file to view a summary of the batch query results as well as details for the individual search criteria that made up the Batch Query. Detailed information on accessing batch query results saved as a CSV in Collaboration area can be found in Section 5.8.5.3: Save to Collaboration as a CSV File or a PDF File.

6 VISUALIZATION FEATURES (LINK VISUALIZATION AND GEO VISUALIZATION)

The N-DEx visualization features provide tools to transform and represent record results into interactive displays. The icon set associated with each visualization feature delivers images with the potential for enhancing, understanding, and discovering patterns and relationships within the data.

N-DEx provides system users with two visualization types:

- a. **Link Visualization:** provides the capability to represent record results in a graphical display and provides users with a wide selection of tools for manipulating and extending original record results.
- b. **Geo Visualization:** provides the capability to display record results using state-of-the-art, interactive, geospatial imagery. It is an easy to use viewing tool, capable of displaying multilayered elevations and image data as a source of important geographic information.

Both Link Visualization and Geo Visualization observe the data sharing rules established by the data owner; see detailed instructions regarding data sharing rules is provided in Section 10.6.4: Sharing Rules. Leveraged data sources (such as DHS and INTERPOL) cannot be linked to each other or to N-DEx records. There may be relationships between the entities being visualized when leveraged sources are used, but those links will be denoted differently from the N-DEx icons.

6.1 Link Visualize Search Results

Visualizing entities (people, property, location, crime characteristics, etc.) and incident information present in N-DEx records can be a useful way to analyze data and assist a user in discovering connections and relationships. Three different types of visualization charts are available in N-DEx.

- a. An **Association Chart** shows the relationships between different entities.
- b. A **Timeline Chart** arranges the data based on date and time settings and shows a chronology of events over time.
- c. **Geo Visualization** uses geospatial capabilities to locate incidents and entities and plots them on a map.

To view records from a Search Results screen in the Link Visualization tool on the Data Results screen, a user:

- a. Places a check mark in the box next to the record(s) to be visualized (see Figure 6-1 Data Results—Link Visualization). Multiple records can be selected to display a Link Visualization by checking more than one record result.
- b. Selects the LinkVis button to open the visualization application in a new window.

NDEX

Back to search

Results 1 to 10 of 2267935 for **Kimberly Z Thompson**

Save | Subscribe | **LinkView** | Details | Collaboration

prev | 1st page | next > page 1 of 226794 go to page [] []

Select all | none Show 10 results per page.

☐ **West Virginia NDEX (WV) - Incident Report - 2007-08-13T14:20:00.0Z** @

End Date: 2007-08-13T14:20:00.0Z doc Ref Id: TESTID302_test2_0_gpev_record Location: Atlanta, GA Offense: abduction with no ransom or assault Start Date: 2007-08-13T14:20:00.0Z

Matched Search Terms: [Thompson\(2\) \(2\)](#)

☐ Mr Kimberly **Z Thompson** Jr; Mr Kim Ann **Thompson** Jr; Kimmie **Thompson**, Hispanic White female Arrest Subject Subject; birthdate 1982-08-05; birthdate 1982-08-06; height 72 in; weight 180 lb; 160 lb; black eyes; black hair; Georgia driver license number DL79345 with expiration date 1968-08-13; California driver license number DL67344 with expiration date 1972-10-15; Federal Bureau of Investigation number 56510909; National Crime Information Center number 104850009; Albania Air Force serial number 12345 with expiration date 2007; United States of America passport number PP7990909 with expiration date 2009; United States habitual offender 545435435; Social Security number 460004649; Georgia state Automated Fingerprint Identification System number GA77745; California state Automated Fingerprint Identification System number CA65145; United States Marshals Service fugitive identification number USMS9214562; 2150 Powers Ferry Road Atlanta GA 30339; 2150 Powers Ferry Rd SE Atlanta GA 30339; 2150 Powers Ferry Road Atlanta GEORGIA 30339; 493 Peachtree St Atlanta GA 30308; 493 Peachtree Atlanta Georgia 30332; 493 Peach tree St Atlanta Georgia 30332; comprehends English as a first language; reads English as a first language; speaks English as a first language; writes English as a first language; comprehends Spanish as a second language; speaks Spanish as a second language; scar on forehead finger height inches width; tattoo on arm finger height inches width; tattoo on right arm finger height inches width; buckled teeth; One front tooth missing; armed and dangerous; Known to have gun and knife; (U); Computer Programmer; United States citizen; Canada citizen; subject asked for assistance; Asked the clerk; comprehends spoken language; reads language; speaks language; writes language; Lightning scar over right eye; Heart with mother in it; Data entered by officer; 2007-08-13T14:20:00.0Z; Known to be false; 1999 [view narrative](#)

record id: TESTID302_test2_0_gpev_record

☐ **West Virginia NDEX (WV) - Arrest Report - 2009-12-15** @

Name: Kimberly Z Thompson doc Ref Id: TESTID302_Inc3_Dat3_Link Location: Clarksburg, WV Offense Text: narcotic or drug violations

Matched Search Terms: [Thompson\(1\) \(1\)](#)

☐ Kimberly **Z Thompson** White female Arrest Subject Subject; birthdate 1978-08-27; birthdate 1977-08-27; height 605 in; weight 150 lb; brown eyes; brown hair; Federal Bureau of Investigation

Figure 6-1 Data Results—Link Visualization

The resulting Association Chart shows relationships between the different entities in the selected record(s) as icons. As shown in our example, people, property, and locations are graphically arranged around a Person icon  (see Figure 6-2 Visualization—Association Chart Preview). Connections are visually revealed between the suspect and other persons, several addresses, phone numbers, a vehicle and a weapon. Icons may be dragged and dropped to rearrange them on the screen to provide different perspectives on entity relationships. The Association Chart preview can be closed by clicking the Close Preview link . From an Association Chart preview a user selects the Open Full View link  to open the chart in full view which displays an overview of the entire association chart located in the bottom left-hand corner. To return to the Association Chart preview, users click the Close link  (see Figure 6-3 Visualization—Association Chart Full View).

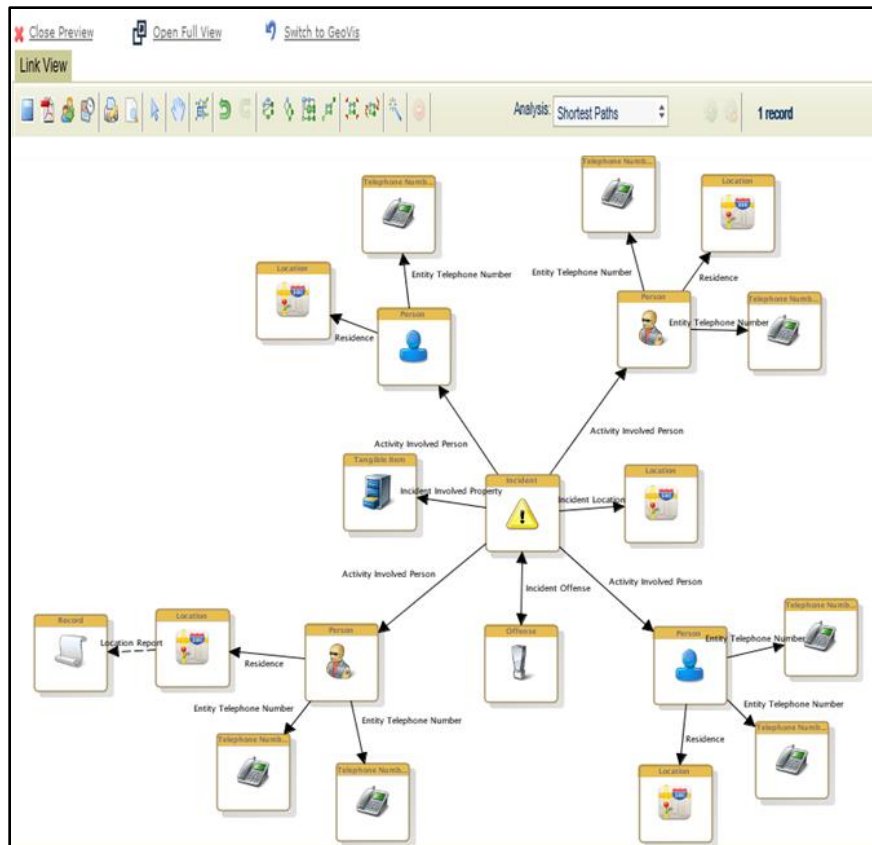


Figure 6-2 Visualization—Association Chart Preview

Users can also visualize a record by clicking directly on the Record link which will display the Detailed Record View. Once the detailed record is opened, to display a Link Visualization Chart for that record, the user selects the Link Visualize link.

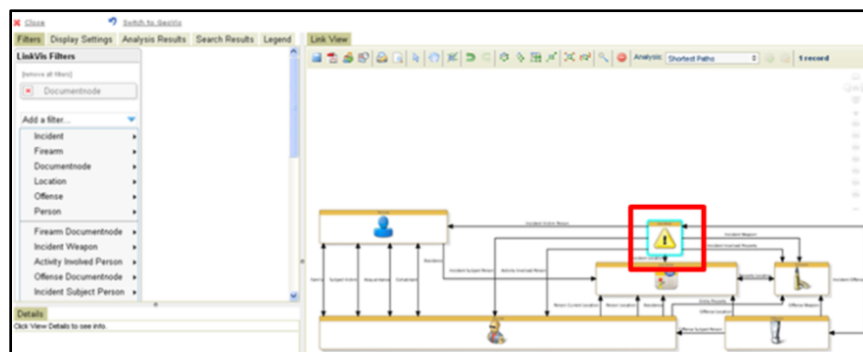


Figure 6-3 Visualization—Association Chart Full View

6.1.1 Using the Visualization Toolbar

Once an initial association chart is created, a system user may utilize the Visualization Toolbar buttons (see Figure 6-4 Visualization—Toolbar).

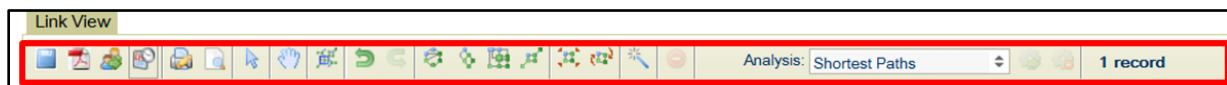


Figure 6-4 Visualization—Toolbar

This extensive set of tools provides options for enhancing the Link Visualization presentation. Toolbar tips are shown when the mouse is placed over a Toolbar button (see Figure 6-4 Visualization—Toolbar). The following table provides a description of each toolbar function (see Table 6-1 Link Visualization Toolbar Functions):

Table 6-1 Link Visualization Toolbar Functions

Icon	Button Name	Description
	Export VLX	Captures a snapshot of a Link Visualization result and enables exporting of diagram to user's choice of formats.
	Export to PDF	Captures a snapshot of a Link Visualization result and enables exporting of diagram in a .pdf format.
	Send VLX to Collaboration	Sends Link Visualization information to a user's Collaboration area.
	Show Timeline View	Shifts the chart presented from an Association Chart to a Timeline Chart.
	Print Setup	Prints the current screen shot.
	Print Preview	Provides a preview of the print screen.
	Select	Selects a point on the visualization diagram.
	Pan	Allows movement within the visualization diagram in any direction the user chooses.
	Overview	Modifies the point of emphasis within the current visualized diagram.
	Undo	Removes the last action performed.
	Re-Do	Performs current action again.
	Circular Layout	Displays icons into an interconnected ring and star topologies.
	Hierarchical Layout	Displays icons into a direction or flow within a directed graph.
	Orthogonal Layout	Displays icons in clear representations of complex networks.
	Symmetric Layout	Displays icons in a symmetrical format.

Icon	Button Name	Description
	Global Layout	Displays icons using precise drawing specifications and rules.
	Incremental Layout	Displays icons and preserves the original layout as changes are made to the drawing.
	Add Potential Link	Adds a customized link to the visualization diagram.
	Delete	Removes an action.
	Zoom Level	Changes the view of the chart by moving the slider bar to zoom in or out. Zooming in increases the Link Visualization view, while zooming out decreases the visualization view.

6.1.2 Layout Options

A user can view an association chart in an overview type display. Selecting the Overview icon  (see Figure 6-5 Visualization—Overview Icon) displays all entities in a visualization in an Overview window (bottom right-hand corner of a Link Visualization display).

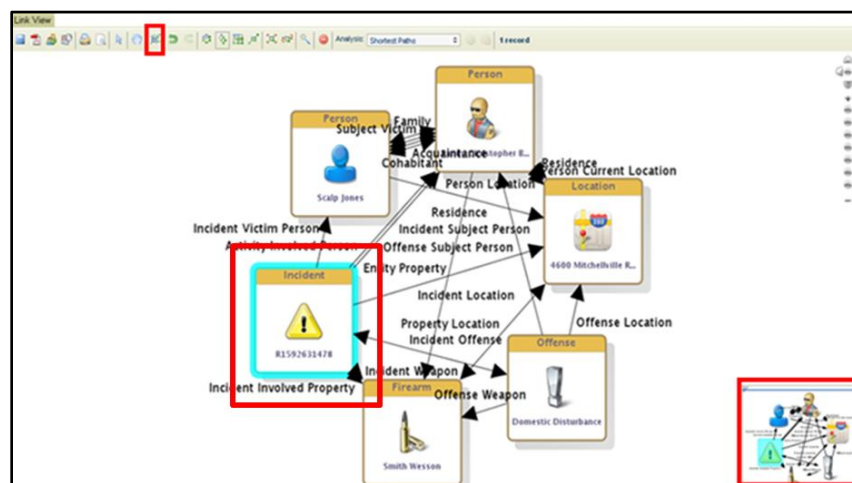


Figure 6-5 Visualization—Overview Icon

A user can choose different layouts for a Link Visualization display. By selecting icons on the toolbar, a user has the option to choose from the following display types:

- Circular Layout.
- Hierarchical Layout.
- Orthogonal Layout.
- Symmetric Layout.
- Global Layout.
- Incremental Layout.

To display a Link Visualization in a Hierarchical Layout View, choose the Hierarchical View icon . A hierarchical view of the image will be displayed (see Figure 6-6 Visualization—Hierarchical Layout View).

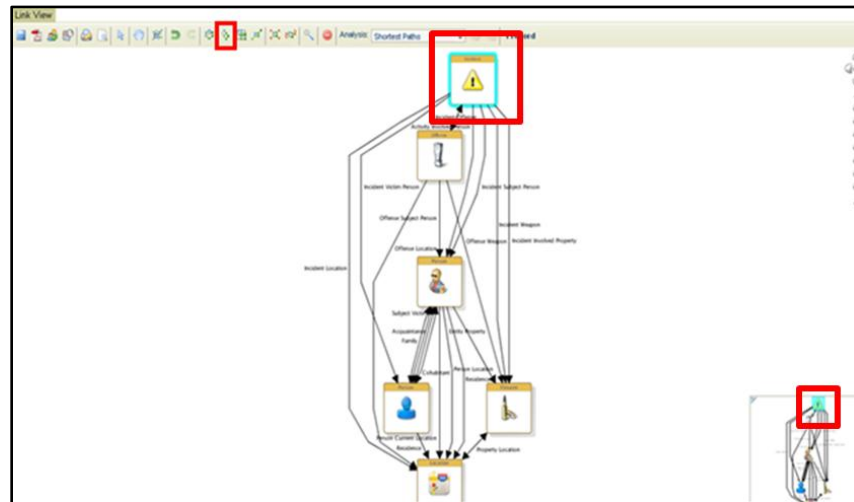


Figure 6-6 Visualization—Hierarchical Layout View

To display a Link Visualization in an Orthogonal Layout View, choose the Orthogonal View icon . An orthogonal view of the image, where the entities intersect or are at right angles in a linear transformation while preserving the length and distance of the map, displays (see Figure 6-7 Visualization—Orthogonal Layout View).

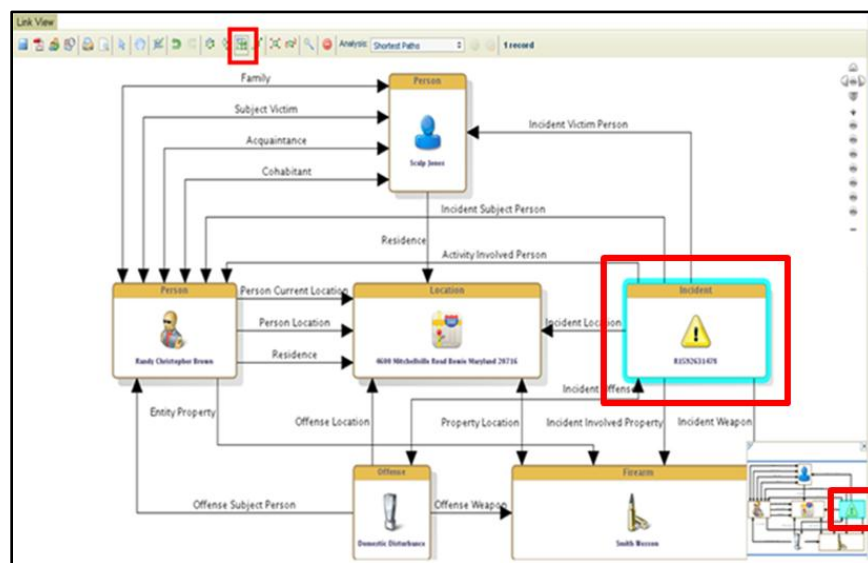


Figure 6-7 Visualization—Orthogonal Layout View

Another method of visualizing relationships is the Show Timeline View (see Figure 6-8 Visualization—Timeline View). Choosing the Show Timeline View button  shifts the chart view from an association chart to a Timeline Chart. A timeline chart chronologically reorganizes record information associated with dates and times from left to right across the chart. Depending on the date(s) and time(s) available in the selected record(s) and the user's intentions for viewing the data, a timeline chart may provide beneficial insight into data relationships.

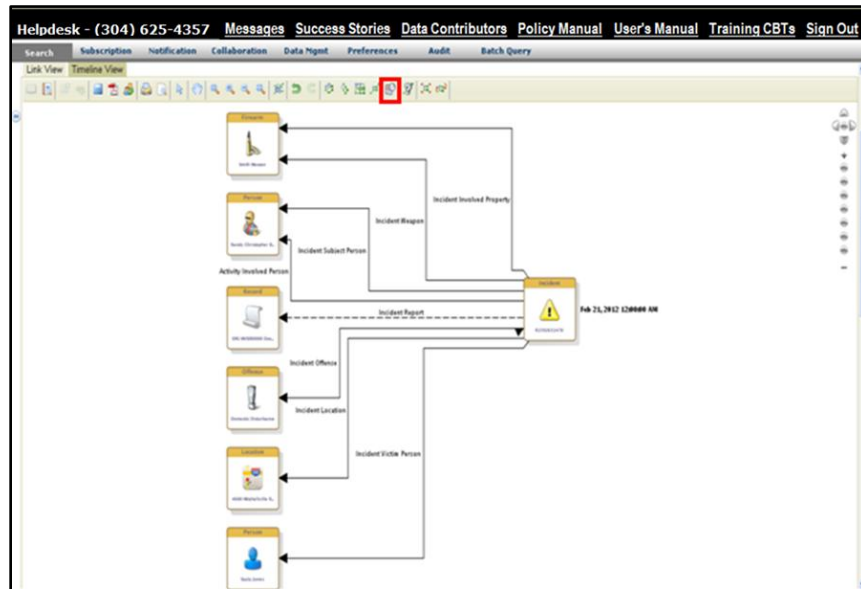


Figure 6-8 Visualization—Timeline View

6.1.3 Using Filters

Filter options are located on the sidebar (see Figure 6-9 Visualization—Entity Filter). Various entities can be retained or removed from a chart using the filter(s). To filter out and restore entities, users click on the checkbox(s) next to the entity type(s). The checked entity types display as icons on an association chart. All filters within a category may be enabled or disabled with a single click from within a category such as Activities, Persons, Organizations, Contacts, Locations and Properties.

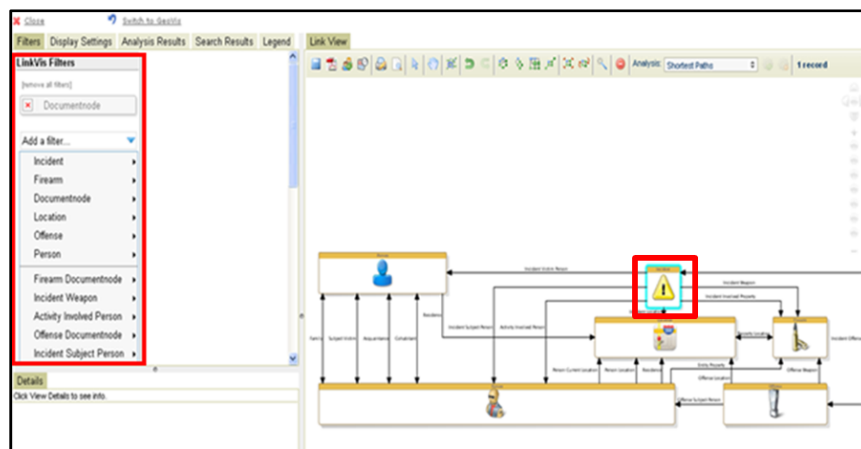


Figure 6-9 Visualization—Entity Filter

The Switch to GeoVis link , when clicked, will change a Link Visualization chart display to a Geo Visualization Map Display.

6.2 Geo Visualize Search Results

Geo Visualization is a useful tool to visualize entities on a map. Additionally, Geo Visualizing multiple records can reveal patterns, trends, and relationships that may not be readily apparent by looking at individual records. The user can Geo Visualize activities (incidents, service calls, offense types), and entities (persons, property, and locations) for those records that have a Globe icon . (If a user clicks on a record that lacks a Globe icon and selects the Geo Visualize button, a blank map will display with a toolbar that indicates 1 record with 0 (zero) map locations shown.)

From the data results screen there are several ways to display a Geo Visualization chart. A user can:

- Place a check mark(s) in the box next to the record(s) of interest. Multiple records can be selected by checking more than one record result (see Figure 6-10 Data Results—Geo Visualization).

AND

- Select the GeoVis button to open the Geo Visualization application in a new window to display a full view map zoomed to the search entity(ies) geographic location(s).

OR

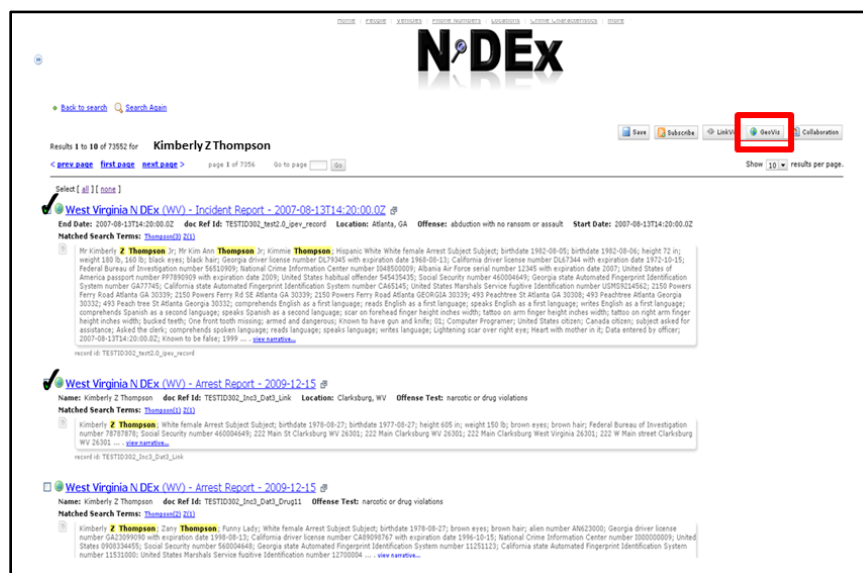


Figure 6-10 Data Results—Geo Visualization

- Click directly on the Record link to open the Detail Record View. From the detailed record, a user should click the Geo Visualize link which will display a Geo Visualization Chart for that record (see Figure 6-11 Geo Visualization for a Record).

OR



Figure 6-11 Geo Visualization for a Record

- d. Click the Geo Visualize link in an IPEV (see Figure 6-12 Geo Visualization through an IPEV).

OR

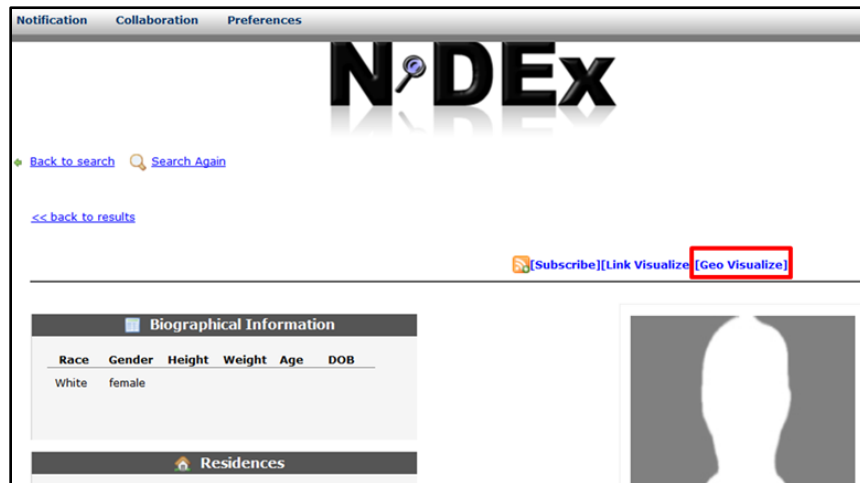


Figure 6-12 Geo Visualization through an IPEV

- e. Click on the Select all button on the search results screen to select the first page of the results to map those results with the Geo Visualization button (see Figure 6-13 Select all Button).



Figure 6-13 Select all Button

6.3 Mini Maps

Mini maps allow the user to quickly see a given location on a map without having to access the Geo Visualization feature of N-DEX. To access a mini map, the user should scroll to the All Locations portion of the detailed view of a record and click on the globe  next to any listed address (see Figure 6-14 Mini Map Access).

All Locations (8)	
49 thompson lane blairsville Georgia UNITED STATES	
1099 norton bridge rd chatsworth Georgia 30705	
140 CHASTAIN LANE COPPER HILL Tennessee 37317 UNITED STATES	
143 chastain lane copper hill Tennessee UNITED STATES	
chatsworth Georgia 30705	
chatsworth Georgia	
35 triple h blairsville Georgia UNITED STATES	
49 THOMPSON LN BLAIRSVILLE Georgia UNITED STATES	

Figure 6-14 Mini Map Access

The mini map will then display (see Figure 6-15 Mini Map Results). The user can then click on the Geo Visualize button next to the Address Preview.



Figure 6-15 Mini Map Results

When Geo Visualization information is displayed, entities may be clustered in an area, represented on the map by a numeral. To view the entities, the user should click on the number to open the cluster (see Figure 6-16 Geo Visualization—Map Display). Snippets of the records will appear beneath the map.

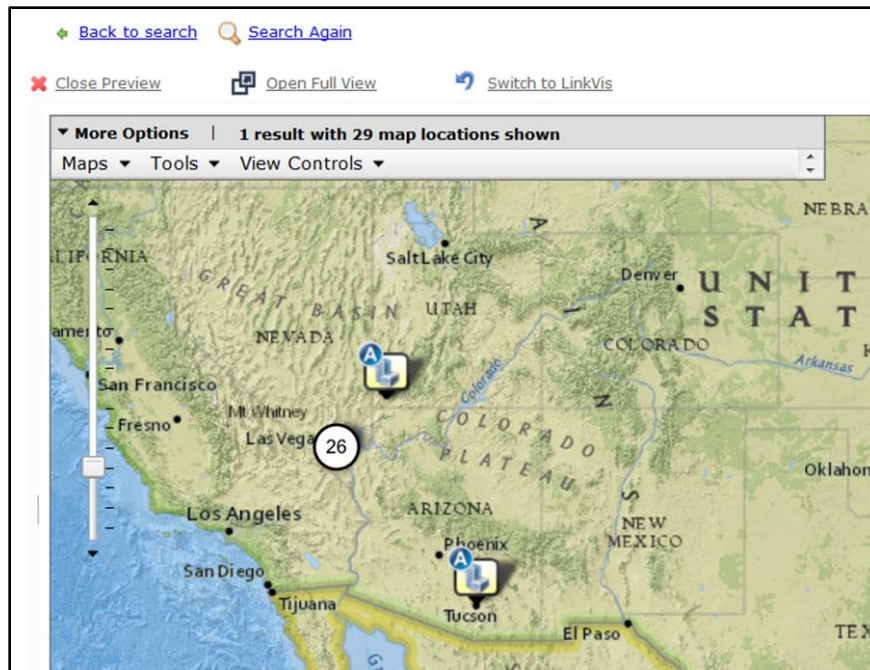


Figure 6-16 Geo Visualization—Map Display

The various icons displayed and the information contained within each icon is described in further detail in Section 6.6.3: Map Display—Legend Tab (see Figure 6-17 Geo Visualization—Entity Cluster).

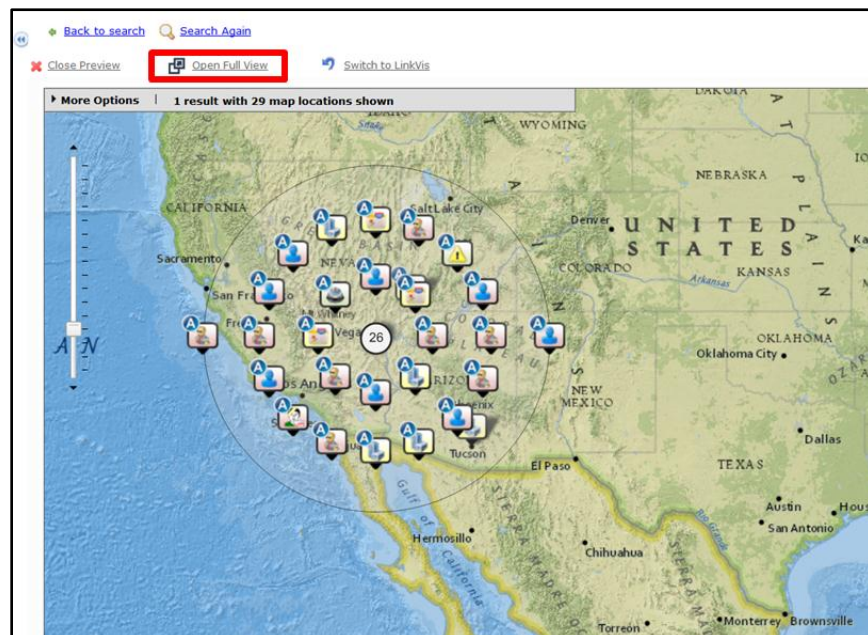


Figure 6-17 Geo Visualization—Entity Cluster

6.4 Results Badges

The letter in the upper left corner of the icon corresponds with the record in the search results and is known as a results badge (see Figure 6-18 Results Badge). To access the record badges on

the left side of the screen, the user should click on the Open Full View icon  (see Figure 6-17 Geo Visualization—Entity Cluster). When the user scrolls over an icon, a dialog box with more information will display depending on what the icon represents.

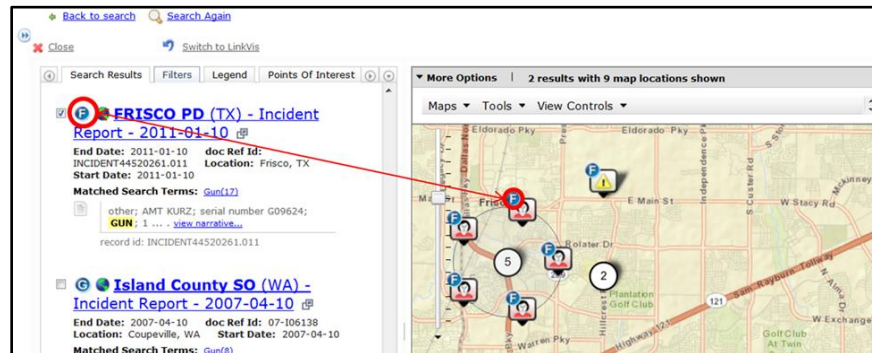


Figure 6-18 Results Badge

For example, the  icon represents an organization. When the user scrolls over this icon, additional information about the organization will appear such as the Data Owner ORI, the Record ID number, the location in latitude and longitude, and the address of the organization.

When the user scrolls over a Person icon, such as a victim or a Subject icon, a dialog box with two tabs will display. The tabs are Details and Known Person (see Figure 6-19 Geo Visualization Person Tabs).

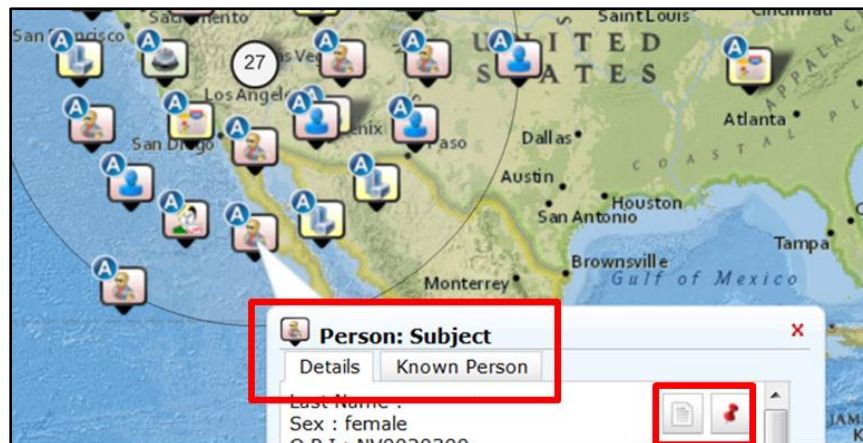


Figure 6-19 Geo Visualization Person Tabs

Details of a Person icon  provide information such as last name, gender, ORI, first name, data owner, record ID, latitude and longitude, person address, and the address as geocoded.

If the user clicks on the Document icon  in the upper right hand corner of the details tab, the stylesheet with the detailed record will appear. The user cannot return to the map from the detailed document view. If the user wishes to view the map after opening the detailed record, the user must recreate the map. If the user clicks on the Pushpin icon  the record can be pinned; see detailed instructions in Section 6.7: Pinning Locations.

Information in the Known Person tab includes the person's name, race, date of birth, gender, location, and the type of record associated with that person (such as an incident report or an arrest report). If a mug shot is associated with the record, the image will appear in the Known Person tab. If other image types are associated with the record, those images will appear in the person's Known Person View when the user clicks on the icon in the upper right corner. However, those images will not display in the Known Person tab.

6.5 Using the Geo Visualization Toolbar

Regardless of the method used to access the Geo Visualization features, the user can navigate through the features using the Geo Visualization toolbar. The toolbar also displays the number of records and the number of map locations shown. When the user clicks on the arrow next to More Options, the toolbar expands (see Figure 6-20 Geo Visualization Toolbar).

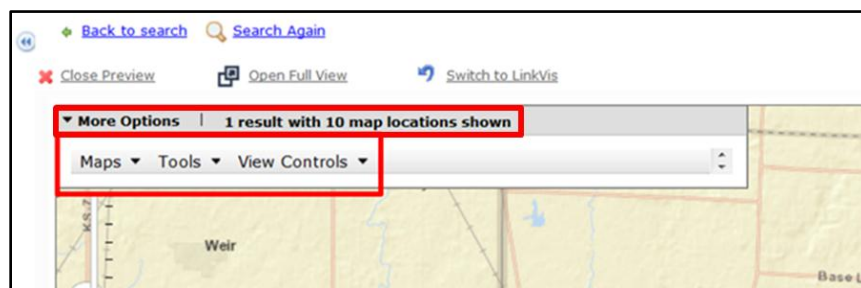


Figure 6-20 Geo Visualization Toolbar

6.5.1 Geo Visualization Maps

When the user clicks on the Maps down arrow, view menu options display. Menu options include: Satellite Map, Street Map or Show boundaries/References Layer (see Figure 6-21 Geo Visualization Satellite Map View). The Satellite Map View displays as the default display.

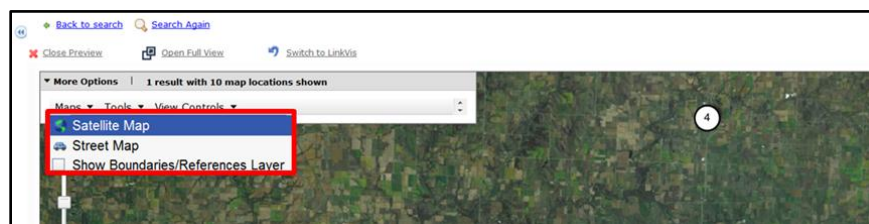


Figure 6-21 Geo Visualization Satellite Map View

The user can select to view the Geo Visualized search results in the street map view by selecting the Street Map option from the menu. After clicking this menu option, the user can view the display which will show highways, streets, intersections, and other map points (see Figure 6-22 Geo Visualization Street Map View).

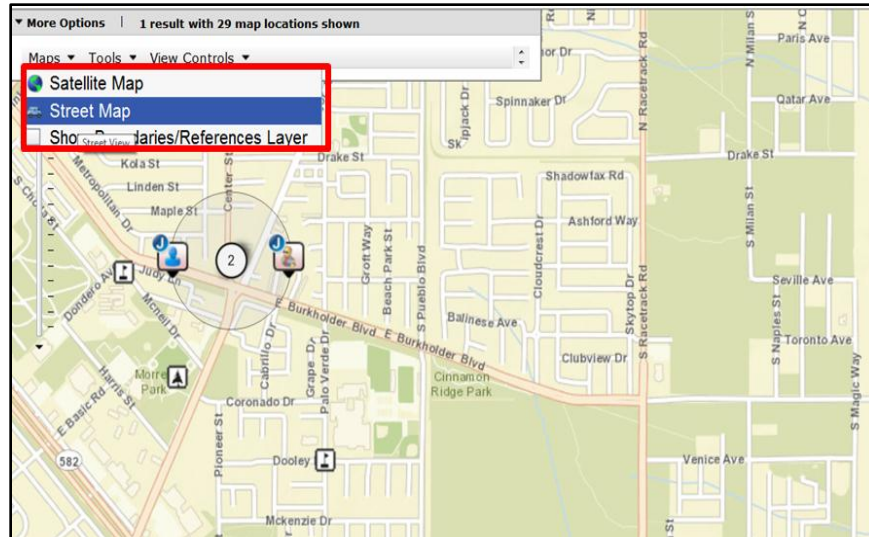


Figure 6-22 Geo Visualization Street Map View

The user can elect to have boundaries and other map references layered over the map display by selecting the Show Boundaries/References Layer option from the menu. After clicking this menu option, the user can view the street map layered with these map enhancements (see Figure 6-23 Visualization Show Boundaries/References Layer View).

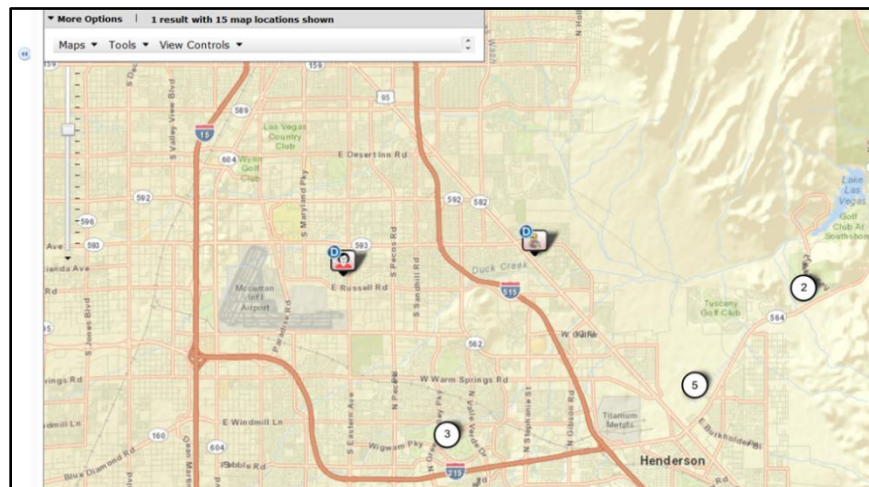


Figure 6-23 Visualization Show Boundaries/References Layer View

Users can alternate between the views by clicking the Maps down arrow and selecting the desired view. Entities from the selected record results continue to be displayed on the map regardless of the view selected.

6.5.2 Geo Visualization Tools

When the user clicks on the Tools down arrow, the user can choose to Export Map, Open Detailed Document View, or Find An Address (see Figure 6-24 Geo Visualization Tools). Users can alternate between the options by clicking on the Tools down arrow and selecting the desired task.

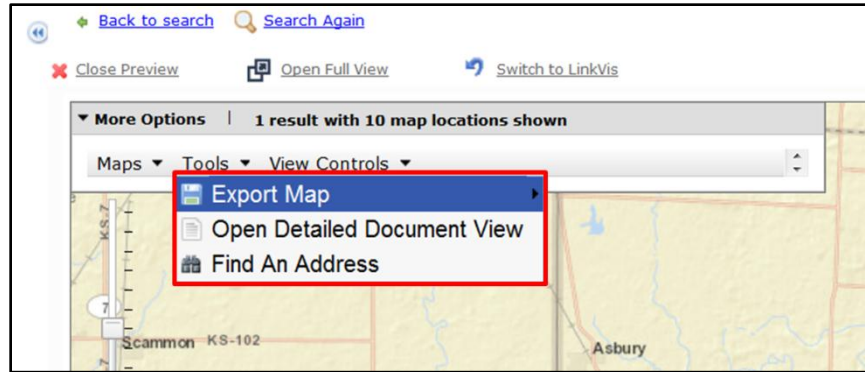


Figure 6-24 Geo Visualization Tools

6.5.2.1 Export Map

When the user clicks on the Export Map option (see Figure 6-25 Geo Visualization Tools Options), the user can export the map to the user's choice of several formats: Character-separated (or also known as comma-separated) value (CSV), Portable Document Format (PDF), Keyhole Markup Language (KML) or Database File (DBF). The pros and cons, as well as the specifics of each type of format, are beyond the scope of this document. Users should contact the technology personnel in their agency for assistance.

If a user exports a map to a CSV file, N-DEx will save the map as a layer that the user can then compare with other Geo Visualized results as a custom layer or save the map and use the custom layer in the future to compare results to discover or confirm trends in activities or locations. Currently, of the formats under the Export Map option, CSV is the only type that can be used as a custom layer. More information about custom layers is available in Section 6.6.5: Map Display—Custom Layers.

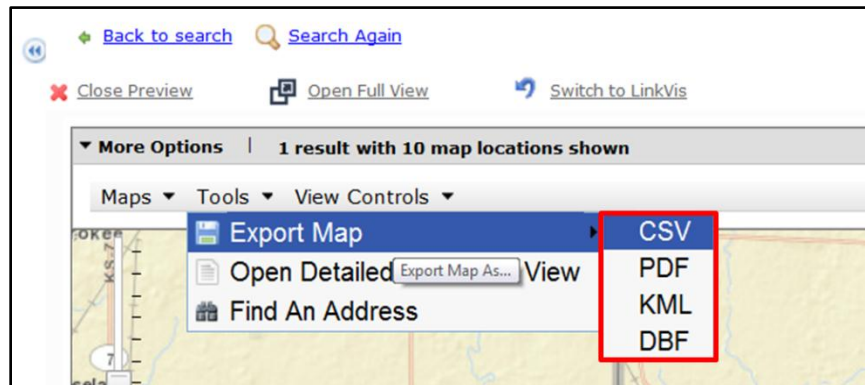


Figure 6-25 Geo Visualization Tools Options

Users may select multiple records to export to a map by placing a check mark next to the record(s) the user wishes to map (see Figure 6-26 Selecting Multiple Records to Export to a Map).

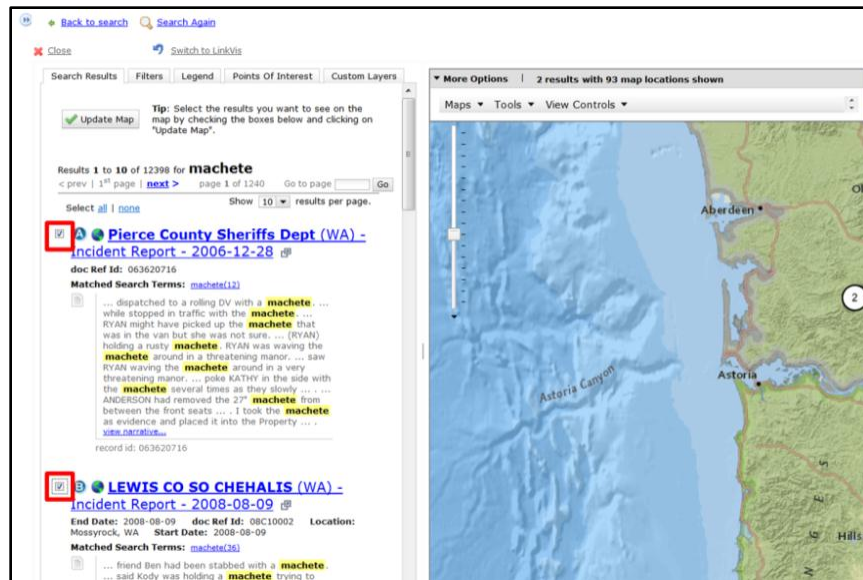


Figure 6-26 Selecting Multiple Records to Export to a Map

When the user exports a map, the user must have selected at least one record to map or an error message will display (see Figure 6-27 Error Message to Select Result). To remove the error message, the user should click on the icon  in the upper right corner or click on the OK button.

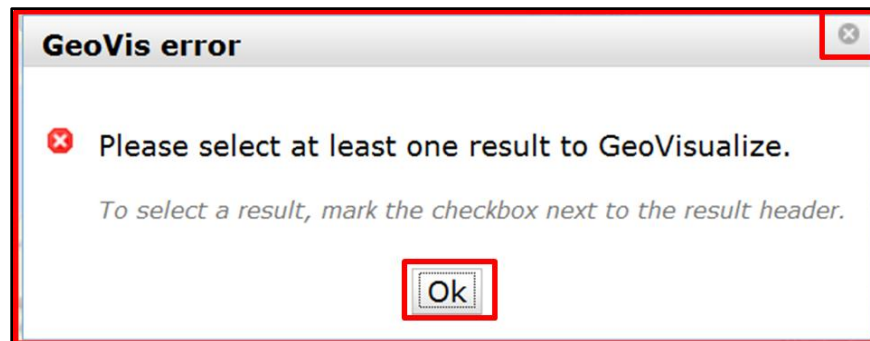


Figure 6-27 Error Message to Select Result

6.5.2.2 Open Detailed Document View

When the user clicks on Open Detailed Document View, the detailed document will display (see Figure 6-28 Open Detailed Document View in Geo Visualization).

[Close Detailed View](#) [\[Subscribed\]](#) [Link Visualized](#) [Open Visualized](#)

[\[Print\]](#) [View the original record.](#)

Pierce County Sheriffs Dept (WA) - Incident Report - 2006-12-28 [Contact All](#) [Expand All](#)

Reference ID: 003020726 Report GUID: 7912302F-550d-4f15-b0d9-2005903ab51
 Record Status: Cleared by Arrest as of 2006-12-28
 Record Owner Agency (MS): WA0627000

Incident Information **Incident Location**

Incident Begin Date: Data Item Status: Cleared by Arrest as of 2006-12-28
 Street: City: PUYALLUP State/City: WA 98373

Incident Circumstances/Bias

Record Contact Information

Record POC Name: LAW ENFORCEMENT SUPPORT CENTER
 Record POC Telephone: (253)790-7943
 Record POC Email: HTTP://WWW.LESA.NET/SC/APP/CONTACT/CONTACT.CGI
 Record POC URL: WA0627000
 NDEX POC Name: Not Available
 NDEX POC Telephone: Not Available
 NDEX POC Email: Not Available

Incident Description

Narrative Date: 2006-12-28
 Incident Number: Account Narrative: AGGRAVATED ASSAULT / DV / ARREST Activity Category: Arrest Activity Date: 2006-12-28 14:21:00.0Z

Offense

Offense Code: aggravated assault on a family member with a weapon Offense Text: LXX Offense Code: 1302 / LXX Offense Description: ASSAULT - AGGRAVATED - FAMILY - WEAPON Activity Date/Time: 2006-12-28 14:21:00.0Z Activity Category: Arrest

Figure 6-28 Open Detailed Document View in Geo Visualization

The Document Detail View is only available for one record at a time. If the user has multiple documents selected, a box will display (see Figure 6-29 Multiple Geovisualized Documents). The user should select the desired document or click Cancel or the Close button  in the upper right corner to exit.

Document Detail View 

? You have geovisualized 3 documents. Which one do you want to view?

☐ [SAGINAW PD \(MI\) - Incident Report - 2011-01-01T21:00:00](#)

☐ [SAGINAW PD \(MI\) - Incident Report - 2011-04-11T02:42:00](#)

☐ [SAGINAW PD \(MI\) - Incident Report - 2010-08-27T22:20:00](#)

Figure 6-29 Multiple Geovisualized Documents

6.5.2.3 Find An Address

When the user clicks on Find An Address, the Find An Address window displays (see Figure 6-30 Find An Address Box). The user should input as much information as possible into the various fields. If the user inserts information into the Note field, it will appear with the results when the user clicks on the Note icon  on the map (see Figure 6-32 Find An Address Icon). There is no limit to the amount of information the user can put in the Note field, including special characters. To close the Find An Address window, the user should click on the Close button  in the upper right corner.

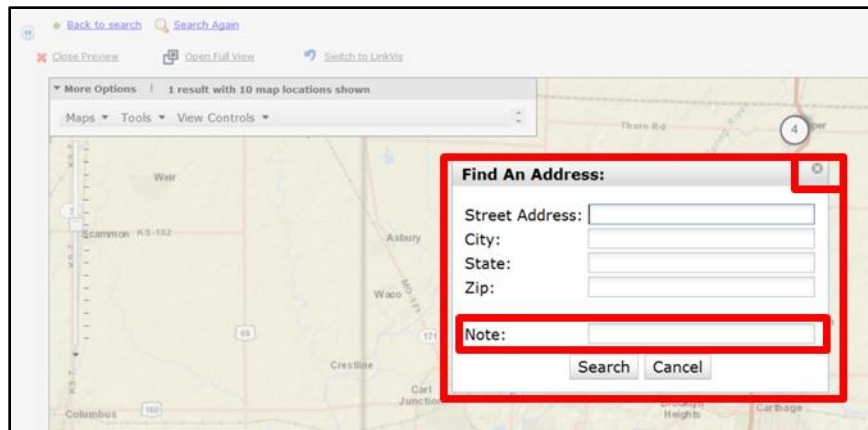


Figure 6-30 Find An Address Box

If the user enters address information, clicks the Search button, and there are similar addresses, another window will display with the likelihood, expressed as a percentage, of a match to the requested address (see Figure 6-31 Did you mean: Address Box). To close the Did you mean: box, the user should click on the Close button  in the upper right corner.

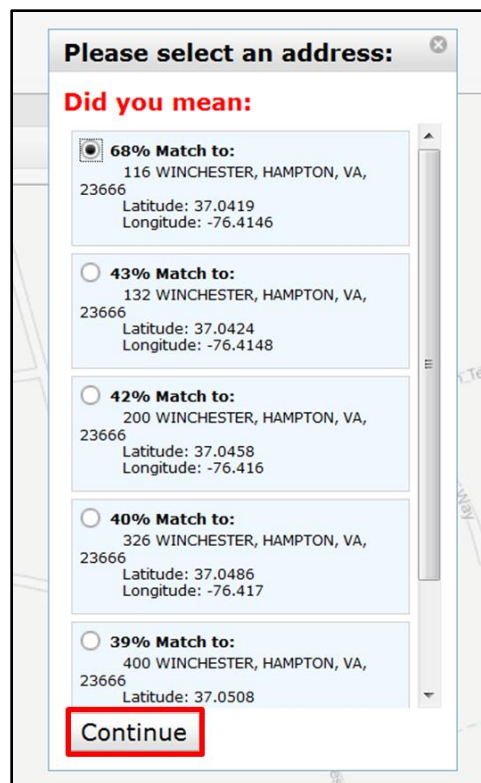


Figure 6-31 Did you mean: Address Box

The user should click on the Radio button next to the desired address and click Continue to display the desired address. The Find An Address is represented by the Note icon  on the map display (see Figure 6-32 Find An Address Icon).

Find An Address provides a pinned location on the map, which could be useful if additional information is obtained, and its location can be viewed in relation to other locations; see detailed

instructions on pinning 1. Section 6.7: Pinning Locations provides information on pinning locations. To close the Find An Address box, the user should click on the Close icon  in the upper right corner.

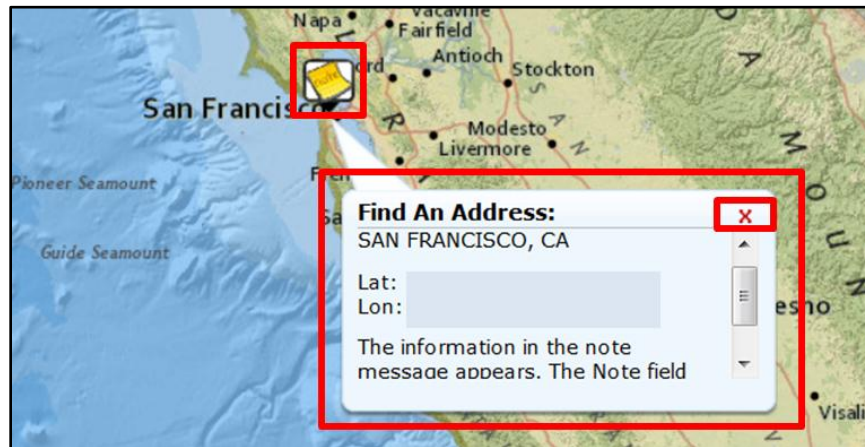


Figure 6-32 Find An Address Icon

6.5.3 View Controls

When the user clicks on the View Controls down arrow, menu options display with several tools available in N-DEX to enhance the Geo Visualization presentation (see Table 6-2 Geo Visualization Toolbar Functions).

Table 6-2 Geo Visualization Toolbar Functions

Icon	Button Name	Description
	Mouse Drag Pans Map	Allows movement within the map in any direction the user chooses.
	Mouse Drag Zooms In	Increases the map view.
	Mouse Drag Zooms Out	Decreases the map view.
	Reset Zoom	Performs current action again.
	Zoom to Search Filter Shape	Repeats last step.
	Zoom to Results	Moves to reshape image.
	Toggle Prev/Next Page Results On/Off	Moves to results page.
	Toggle Clustering On/Off	Alternates between number of entities and clusters of location badges.
	Clear Pinned Locations	Clears any locations that the user has saved (pinned) to the map.
	Clear Custom Layers	Clears any custom layers that the user has displayed.

The Full View Map display, in the Street View, is the default view. Users can zoom in or out using the icons, or by using the slider bar on the left side of the map (see Figure 6-33 Zoom In/Out Bar) to increase or decrease the view of the map area. A close-up view of map geography,

such as streets, parks, lakes, structures, etc., is achieved using the zoom features. However, when zooming in on the map, entities may be out of view in the window, and the user will need to pan the map within the window to view the record entities.

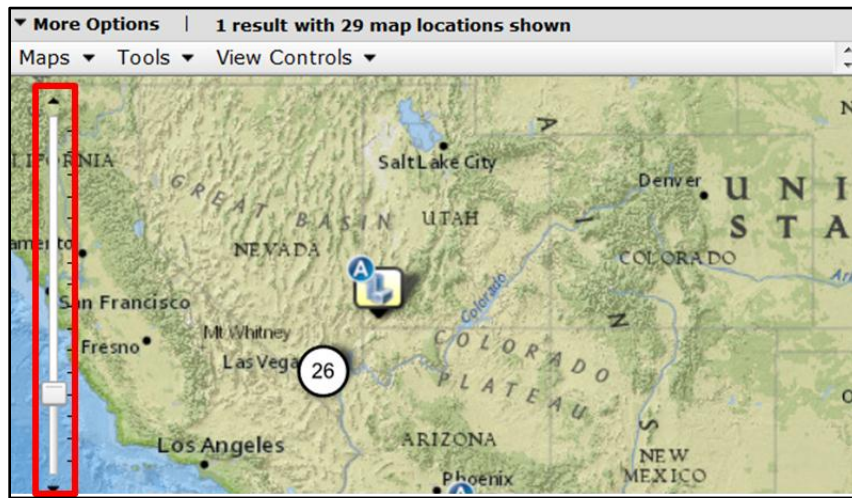


Figure 6-33 Zoom In/Out Bar

6.6 Using Map Display Tabs

When the user clicks on the Open Full View button several Map Display tabs appear (see Figure 6-34 Open Full View Button).

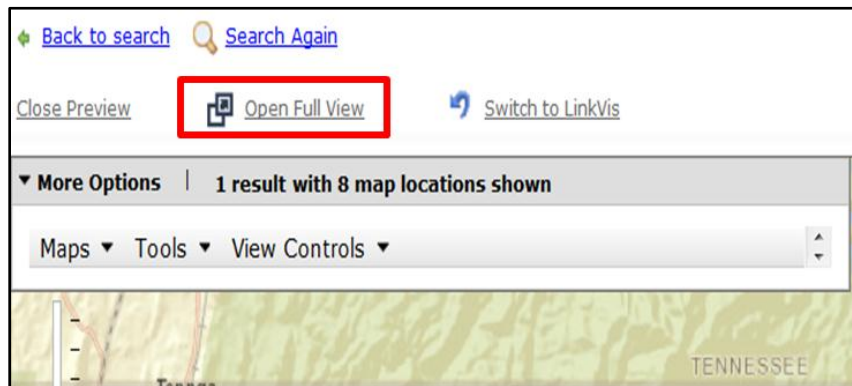


Figure 6-34 Open Full View Button

These map display tabs include:

- Search Results:** Filters the display of search results on the map.
- Filters:** Sorts the display of entities on the map.
- Legend:** Displays a legend of all Map icons which can be utilized.
- Points Of Interest:** Filters the locations on the map by points of interest.
- Custom Layers:** Provides layers (user created or system generated) on top of the map (see Figure 6-35 Map Display Tabs).



Figure 6-35 Map Display Tabs

To close the Map Display tabs, the user should click the Close icon button  (see Figure 6-35 Map Display Tabs).

To see all the tabs, the user may need to widen the maps display column by placing the cursor in the space between the tabs and the map until a double-headed cursor appears. The user should drag the cursor to the right until all of the tabs display (see Figure 6-36 Map Display All Tabs).

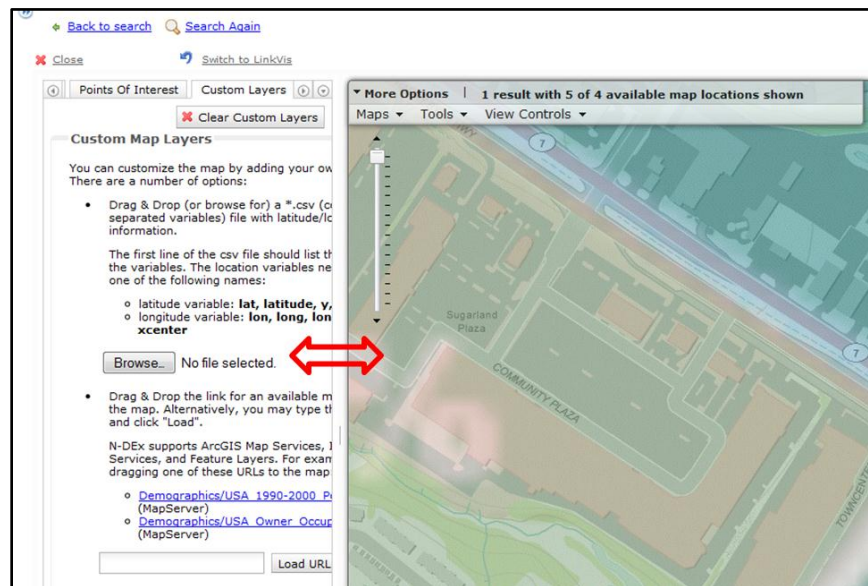


Figure 6-36 Map Display All Tabs

6.6.1 Map Display—Search Results Tab

The Search Results tab shows the results of the search. The letter in the circle before the agency name will correspond with the letter in the upper left corner of the result badges in the map (see Figure 6-37 Search Results). Section 6.4: Results Badges provides information about results badges.

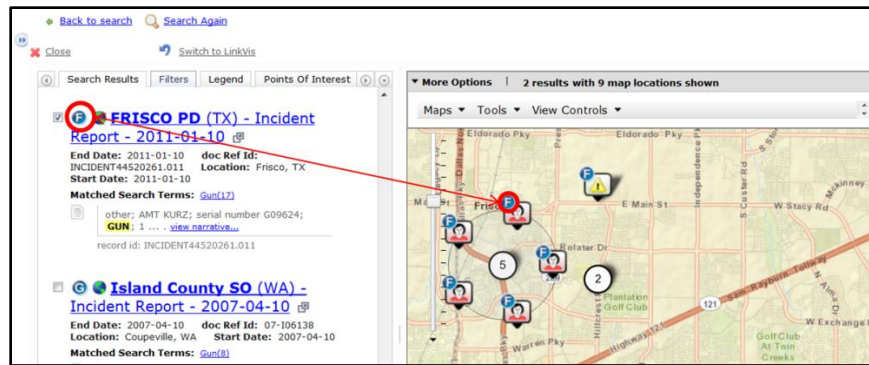


Figure 6-37 Search Results

The user can select which results they want displayed by clicking the box next to the agency name and clicking the Update Map button (see Figure 6-38 Update Map). The Update Map button allows users to manipulate the map view to discern event patterns. The user can select all records to plot initially and then remove records from the view to narrow the results.

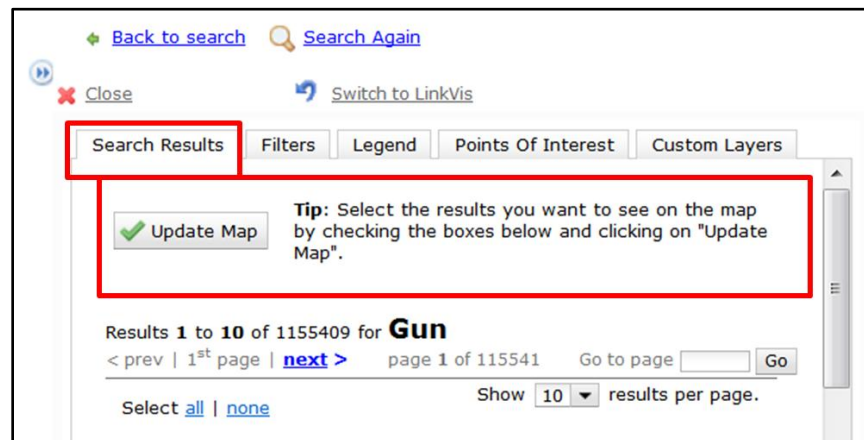


Figure 6-38 Update Map

6.6.2 Map Display—Filters Tab

When the user clicks on the Filter tabs, the user can add different types of filters depending on the information available for that record. Users can filter by location, organization, person, or offense depending on the available information.

For example, if the record contained information about subjects, victims, arrest subjects, and other involved persons, those choices will be available if the user clicks on the Person filter. However, if the record is limited to only victim information, the only choice available under the Person filter would be victim.

Choosing the Filters tab displays available entities which can be filtered on the map. Selecting a filter type (e.g., Person, Organization, Location, Activity, and Offense) removes the entity icon(s) from the map (see Figure 6-39 Map Display—Filters Tab).

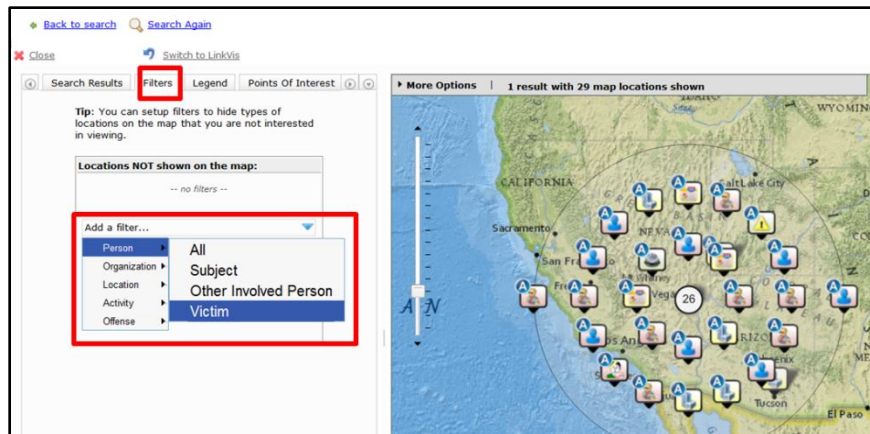


Figure 6-39 Map Display—Filters Tab

To restore the filtered information, the user should click on the  (see Figure 6-40 Restore Filtered Information).

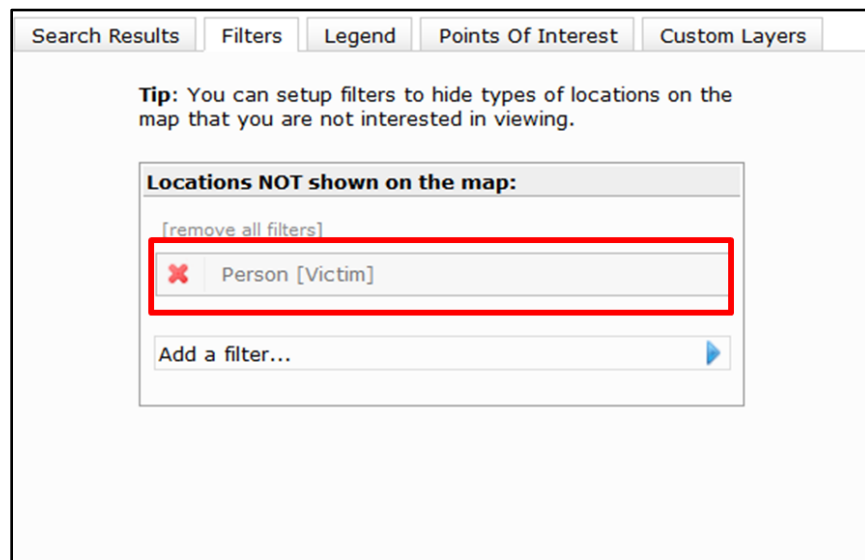


Figure 6-40 Restore Filtered Information

6.6.3 Map Display—Legend Tab

The Legend tab displays all icons available for the Geo Visualization map function. The Legend is an explanatory list of the symbols (location badges) for ease of identification and use (see Figure 6-41 Map Display Legend Tab).

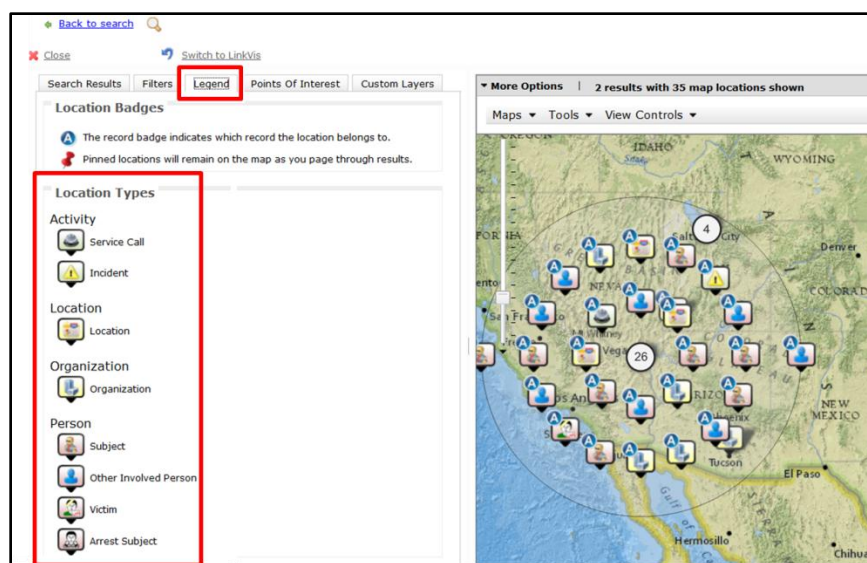


Figure 6-41 Map Display Legend Tab

In addition to the location badges, the Legend tab will contain any pinned locations; see detailed instructions in Section 6.7: Pinning Locations for information about pinned locations. The Legends tab will also contain custom layers; see detailed instructions in Section 6.6.5: Map Display—Custom Layers for information about custom layers.

6.6.4 Map Display—Points of Interest Tab

To filter the map by locations of interest, the user should click on the Points of Interest tab and select from the list of Points of Interest (e.g., Hospitals, Colleges/Universities, Airports, etc.). To select or deselect an icon on the map, the user must click on and off the Checkmark icon ☒ (see Figure 6-42 Map Display—Points of Interest Tab). Points of interest describe locations that have been designated as relevant to the current zoom level of the map. The user can display fewer or more points of interest by changing the zoom level of the map (see Figure 6-33 Zoom In/Out Bar).

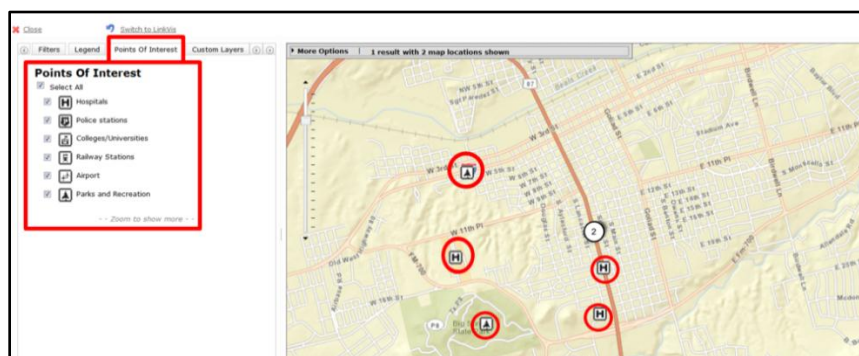


Figure 6-42 Map Display—Points of Interest Tab

If the user places the pointer over a point of interest, a description of that point of interest will display (see Figure 6-43 Map Display—Description of Points of Interest).

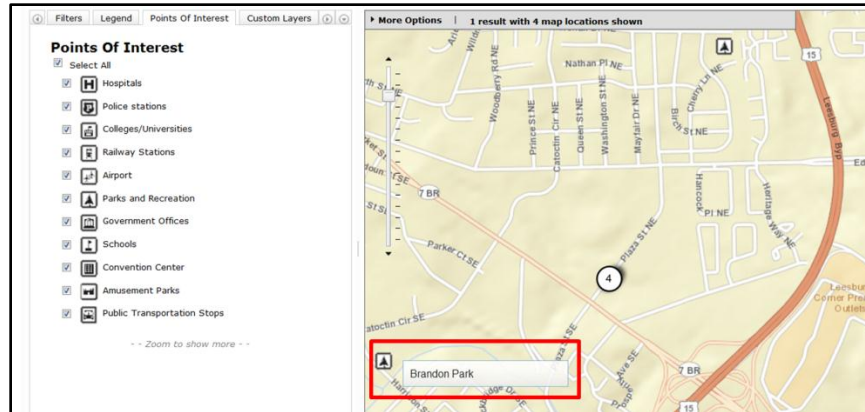


Figure 6-43 Map Display—Description of Points of Interest

6.6.5 Map Display—Custom Layers

Custom layers allow the user to add additional data and layers to the map in N-DEx. These layers can be added as a CSV file with latitude and longitude information or by applying a map from a map service. If the user wishes to use a CSV file, the file must contain a header row and a latitude column and a longitude column in the decimal format.

N-DEx supports ArcGIS Map Services Image Services and Feature Layers and provides two custom layers: United States of America (USA) 1990 to 2000 Population Change and USA Owner Occupied Housing (see Figure 6-44 Custom Map Layers). Custom layers are compatible with the Firefox browser; however, are not currently compatible with Internet Explorer.

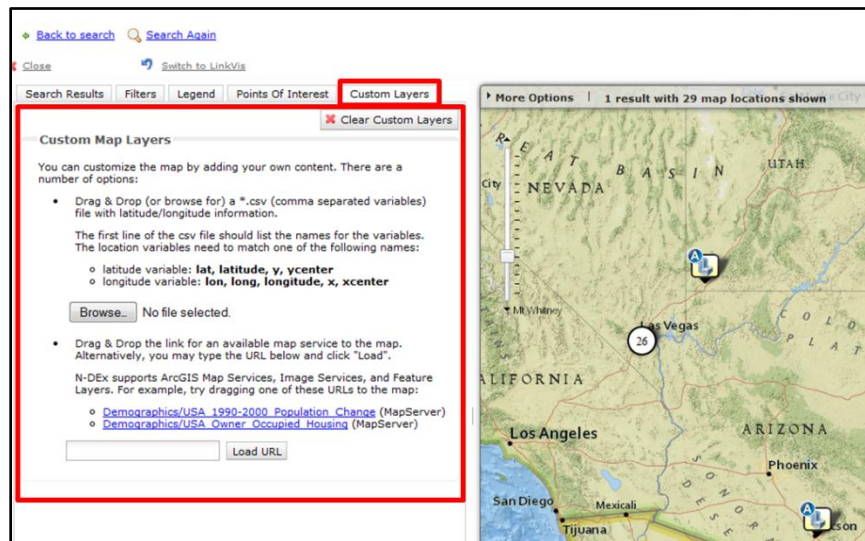


Figure 6-44 Custom Map Layers

To access a layer using a CSV file, the user should click on the Browse button and select the desired file. If the user wishes to apply one of the demographic layers, the user should click on the desired link and drag and drop the link onto the map (see Figure 6-45 Created Custom Map Layers).

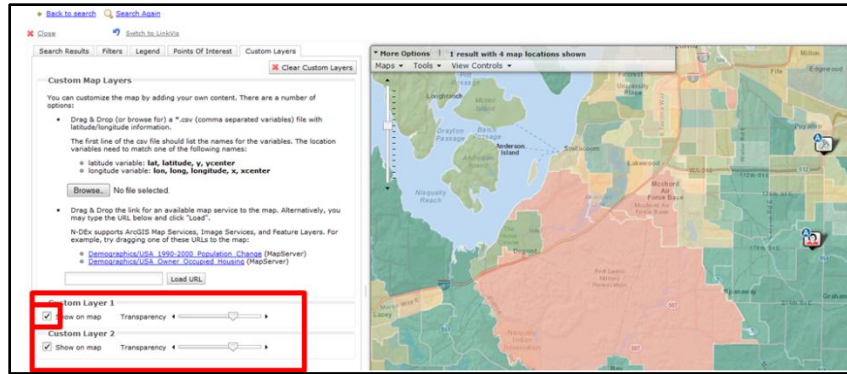


Figure 6-45 Created Custom Map Layers

Or, the user can click on the Load URL button to access maps from supported Internet map services (see Figure 6-46 Load URL Button).

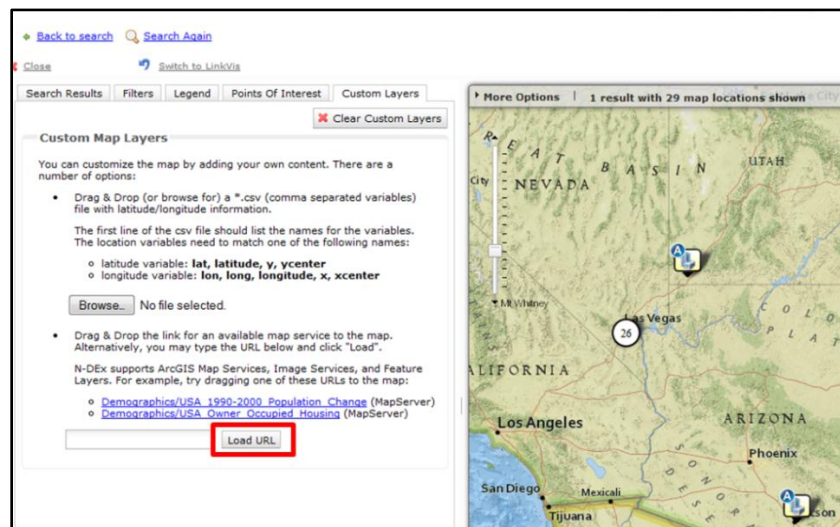


Figure 6-46 Load URL Button

When a user applies a custom map, a custom layers box will display. Users can adjust the transparency of the layer in order to see road names or other markers with the custom map layer applied (see Figure 6-47 Custom Layers Options).

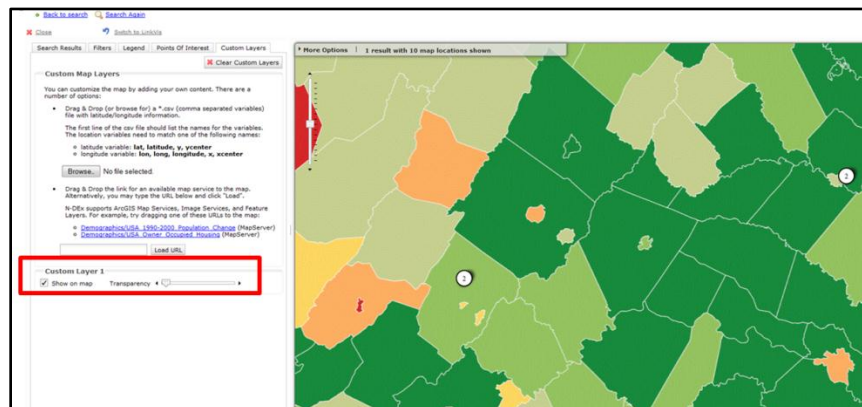


Figure 6-47 Custom Layers Options

The user may create and apply as many layers as desired (see Figure 6-48 Multiple Custom Layers).

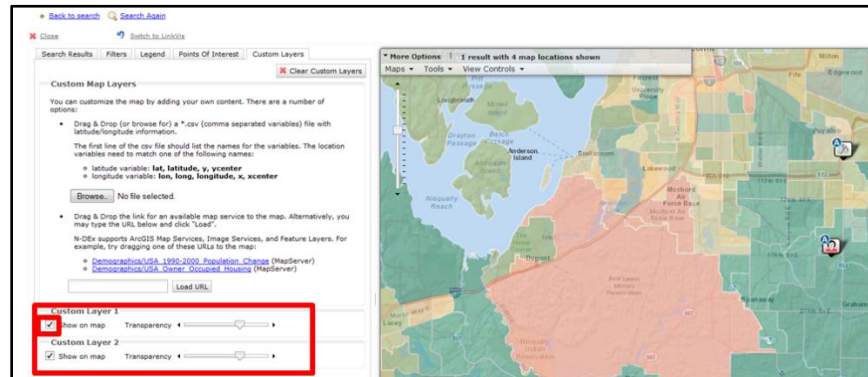


Figure 6-48 Multiple Custom Layers

If the user selects the N-DEx system demographic layers, the user can change the display by checking or unchecking the Show on map box. Unclicking box does not remove the layer; the layer just will not display. However, if the user created layers through a CSV file or from another map service, the user cannot remove just one layer of a multiple-layer map. The legend for the custom map layer(s) will display under the legend tab (see Figure 6-49 Custom Layers Legend).

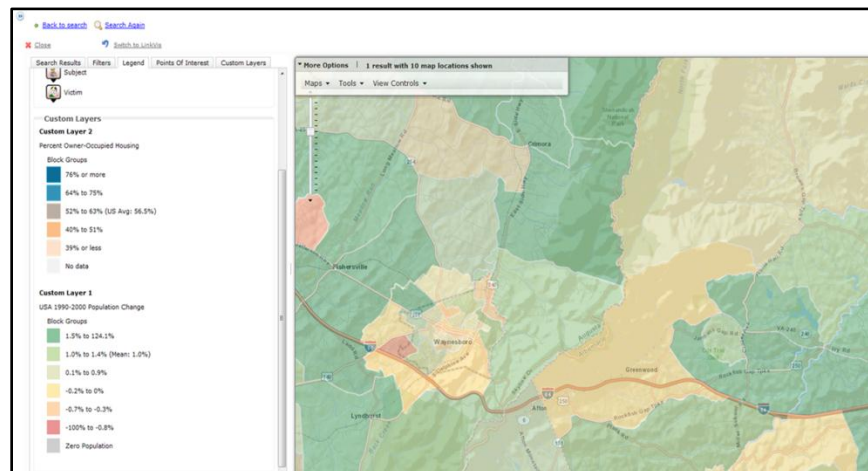


Figure 6-49 Custom Layers Legend

To clear custom map layers, the user should click on the Clear Customs Layers Box (see Figure 6-50 Clear Custom Layers).

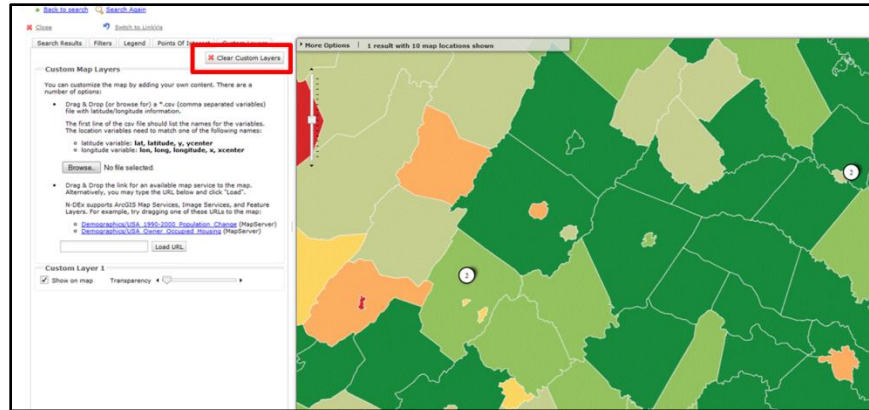


Figure 6-50 Clear Custom Layers

6.7 Pinning Locations

Pinning a location keeps map locations visible as a user pages through search results. The user can save or “pin” a location to a map in two ways by:

- Clicking on the Pushpin icon  in the upper right corner of the Details tab (see Figure 6-51 Pinning a Location).

OR

- Rolling the mouse over a location badge and then click it.

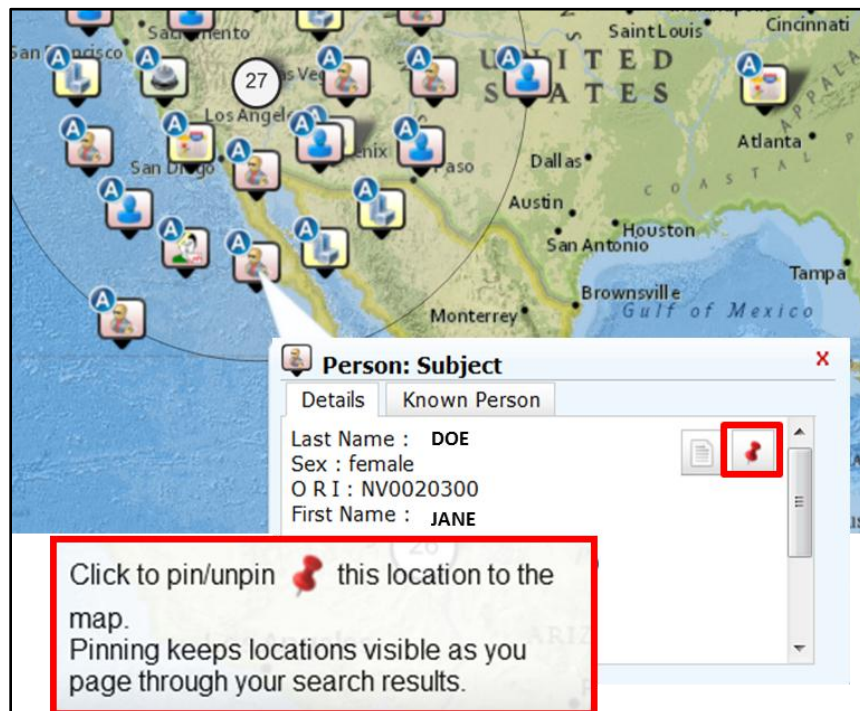


Figure 6-51 Pinning a Location

Users can pin a single location to the map or all locations associated with a result to the map. Pinned locations will have a Pushpin  in the upper right corner of the results badge, and there

will be a Pushpin icon  in the numeral in the circle that denotes the number of entities in a cluster (see Figure 6-53 Pinned Locations). There are no limits as to the number of pins a user can have. When the user clicks to pin a location, a window displays (see Figure 6-52 Pin-To-Map Box).

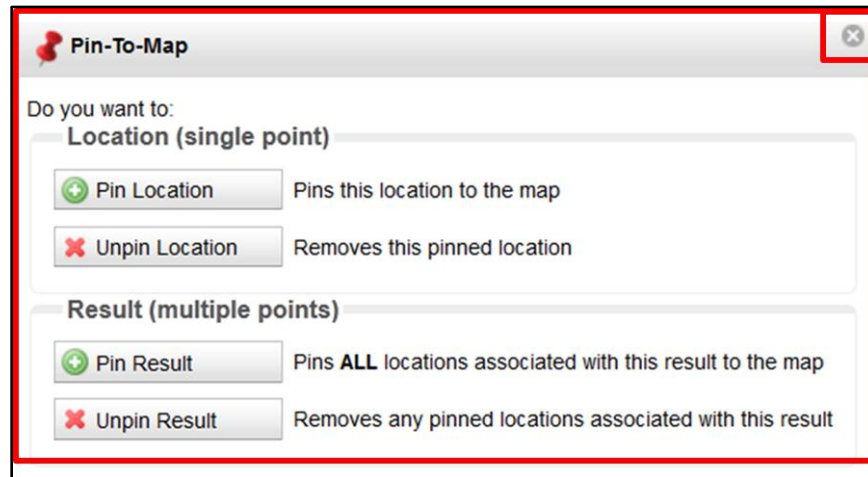


Figure 6-52 Pin-To-Map Box

A user can unpin a location from the search results. To clear any pinned locations, the user should click on either the Unpin Location or the Unpin Result button. To close the Pin-To-Map box, the user should click on the  in the upper right hand corner of the box.

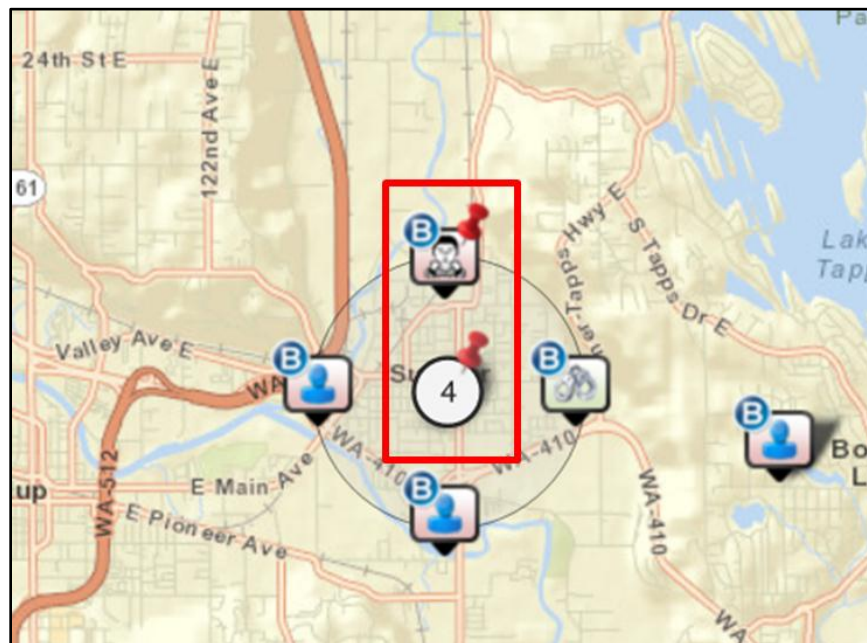


Figure 6-53 Pinned Locations

From a Geo Visualization map, a user can switch the display to a Link Visualization of the selected record's entities. Clicking the Switch to LinkVis hyperlink  [Switch to LinkVis](#) changes the display to a Link Visualization. Clicking the Close link  [Close](#) closes the Geo Visualization tabs and returns the user to the map (see Figure 6-54 Geo Visualization—Switch to LinkVis

Hyperlink). From the map display, the user can click Close Preview to return to the search results.

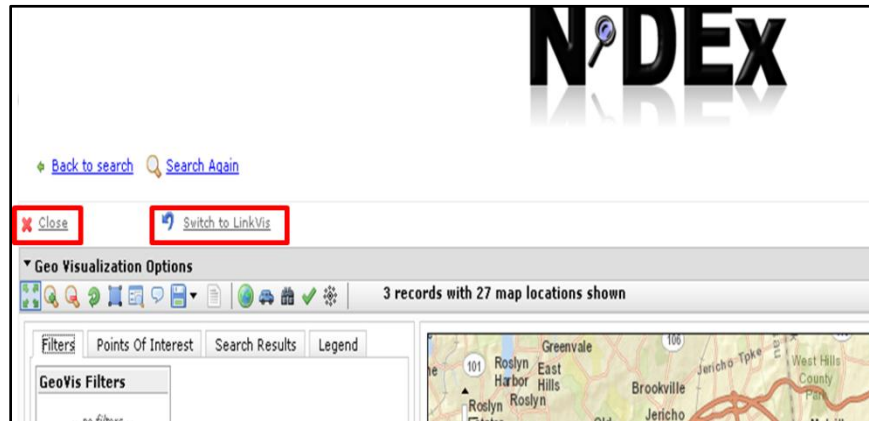


Figure 6-54 Geo Visualization—Switch to LinkVis Hyperlink

7 SUBSCRIPTION/NOTIFICATION

7.1 Subscription/Notification Overview

The subscription capability allows a user to register for:

- a. Future information about entities and subjects of interest.
- b. Changes to existing records.
- c. Information on who else is looking for similar entities or subjects of interest.

Subscription allows a user to flag data in order to be notified of any additions, updates, or removal of data contained within the N-DEx system. Additionally, users can flag search parameters in order to be notified when another N-DEx user searches on the same criteria. The types of subscriptions available to a user are determined by the type of entity on which the subscription is being set (query search parameters, a case report, or a specific person). Subscription and notification are provided only for N-DEx records and not for records from leveraged data sources.

There are five types of subscriptions:

- a. **Search Match** (Search Results screen or Known Person Results screen): Subscribe to a record search query criteria which is the same as another user's record search query criteria.
- b. **Record Match** (Search Results screen or Known Person Results screen): Subscribe to a newly ingested record which matches the user's own record search criteria.
- c. **Record Update** (Detailed Record screen): Subscribe to an existing record update and/or record change event.
- d. **Person Entity Match** (Integrated Person Entity View screen—IPEV): Subscribe to an entity update event. A newly ingested record matches the user's person search criteria.
- e. **Person Entity Viewed** (Person Entity page): Subscribe to a person entity search query criteria which are the same as another user's entity record search criteria.

Each user is limited to 50 active subscriptions. When creating a new subscription, if the maximum allowable subscriptions have been reached, the system will forward the user to the My Subscriptions screen (see Figure 7-9 My Subscriptions Screen). The My Subscriptions screen provides the total subscriptions (both active and inactive). Before new subscriptions can be created the number of subscriptions must be reduced below the limit.

When information related to specific entities and subjects of interest appear in N-DEx which meets a user's subscription criteria (the type of subscription set), a notification is sent to the user. A user will also receive notifications from his/her agency N-DEx Training Administrator if enrolled in required training. A user can specify how and when to receive notifications. **Each user is limited to 20 notifications.** This limit includes batch notifications, if any. For example, if there are 10 batch query notifications, then only 10 subscription notifications would be available.

Sharing policy rules are applied to all entity and record subscription and notification reporting. For example, a “**Green**” record is viewable with the exception of those users who are specifically excluded from access by the data owner. A “**Yellow**” record is controlled and only POC information is provided to users, with the exception of those users who are specified as members of a sharing group by the data owner to access the record. A “**Red**” record is viewable

only if a user is specified as a member of a sharing group by the data owner to access that record; see detailed instructions in Section 10.6.2: Data Access on sharing policy levels.

While there are several different subscription types, each follows a two-step sequence. Once a user performs a search, whether a Simple Search, Advanced Search, or Targeted Search, the search results are returned. Clicking the Subscribe button or Subscribe link will initiate the subscription process.

7.1.1 Subscribe to a Search Query—Search and/or Record Match

Users may set subscriptions based on specific entity and record information that is the result of an N-DEx search. To subscribe to be notified about new record(s) which exactly match the user's search query, or when another user searches for the exact same criteria, a user:

- Selects a result(s) from the search results returned.
- Clicks the Subscribe button to open the Create Subscription window (see Figure 7-1 Data Results—Subscribe to Search Query and/or Record Match).

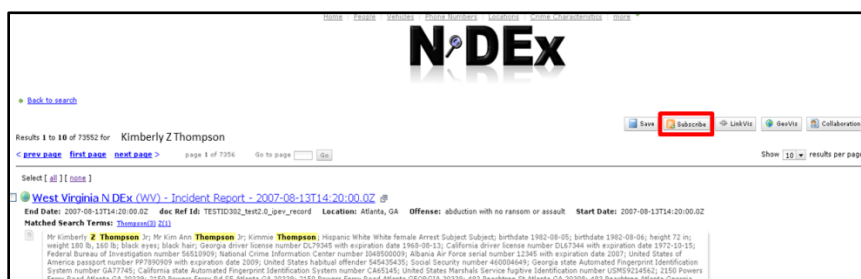


Figure 7-1 Data Results—Subscribe to Search Query and/or Record Match

- Enters his/her choice for the subscription name in the Create Subscription window (see Figure 7-2 Create Subscription Window—Search Query/Record Match). The name must be unique to the subscription (different from other subscription names) and meaningful to the subscriber to discern one subscription from another.
- Selects the subscription conditions under which he/she wishes to be notified. Under the Tell me when area, a user may click on the checkbox next to one or both of the following two subscription conditions:
 - When a new record matches my search.
 - When another user searches for the same criteria.
- Clicks the Create button which creates the subscription.

When setting a subscription for a search query, future search criteria must exactly match in order to receive a notification. Clicking the Cancel button does **not** create the subscription and returns the user to the results screen.



Create Subscription

Enter a descriptive name to uniquely identify the subscription.

Tell me when:

☒ a new record matches my search

☐ another user searches for the same criteria

Figure 7-2 Create Subscription Window—Search Query/Record Match

7.1.2 Subscribe to a Selected Record—Record Update

Users may set a subscription on a specific record to be notified if any of the data within that record changes. To set a Record Update Subscription, a user should open the selected record on the search results page by clicking on the record header (see Figure 7-3 Record Detail—Subscribe to Record Update).



Search Subscription Notification Collaboration Data Mgmt Preferences Audit Batch Query

[close detailed view](#) [\[Subscribe\]](#) [\[Link Visualize\]](#) [\[Geo Visualize\]](#) [Print](#)

Choose a Stylesheet: [View the original record >](#)

West Virginia N DEx-Incident Report-2007-08-13T14:20:00.0Z

Reference ID: TESTID302_test2.0_ipcv_record Report GUID: 31cf74f1-7a1b-4bb4-ab18-6bf6c0c6604

Record Status: Closed as of 2000-01-01

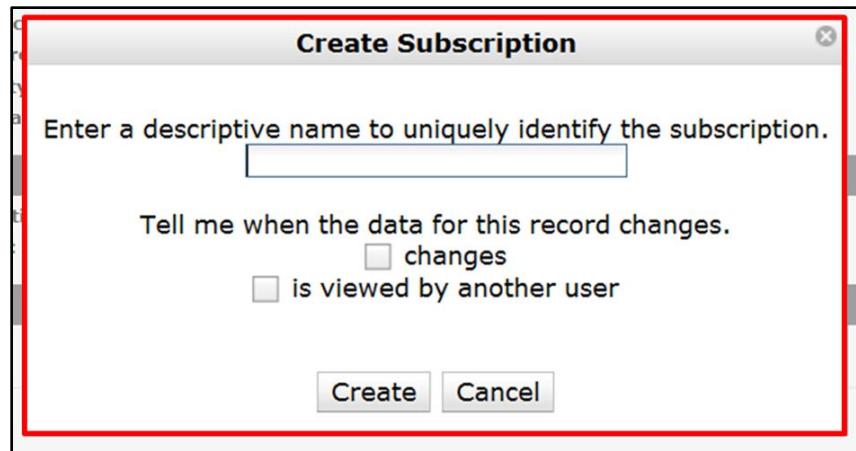
Record Owner Agency ORI: WVNDX0001

Figure 7-3 Record Detail—Subscribe to Record Update

When the selected Detailed Record displays, a user:

- Selects the Subscribe link on the Detailed Record screen to open the Create Subscription window (see Figure 7-4 Create Subscription Window—Subscribe to Record Update).
- Enters his/her choice for the subscription name. The name must be unique to the subscription (different from other subscription names) and meaningful to the subscriber to discern one subscription from another.
- Clicks the Create button to create the subscription.

Record-based subscriptions are retained. When a record is deleted, a notification will be sent. Clicking the Cancel button does **not** create the subscription and returns the user to the Detailed Record screen.



Create Subscription

Enter a descriptive name to uniquely identify the subscription.

Tell me when the data for this record changes.

☐ changes

☐ is viewed by another user

Create Cancel

Figure 7-4 Create Subscription Window—Subscribe to Record Update

7.1.3 Subscribe to a Targeted Person Search—Known Person Entity Match

Users may set a subscription for a Targeted Person Search (a search and/or a person entity match). A user can subscribe to be notified if new records match the subscribed search criteria or if another user searches the same criteria. Information about Known Person Entity Match is available in Section 4.16.9: Manage Known Person Search Results. To set a Targeted Person Search—Known Person Entity Match subscription, a user:

- a. Selects the Subscribe button on the Known Person Results screen (see Figure 7-5 Known Person Result—Subscribe to Person Entity Match).



N-DEX

[Back to search](#)

N-DEX Known Person Results

	Name/Alias	Identifiers	Race/Gender/Age	Locations	Records	Images
1	Kimberly Z Thompson Kim Ann Thompson Kimberly Z Thompson Kimberly Thompson ...	SSN: 460004649 DLNUMBER: DL67344 (California) FUGITIVEID: USM59214562 ...	White female 30	ATLANTA GA	Incident (1)	
2	Kimberly Z Thompson Kimberly Z Thompson	SSN: 460004649 FBI NUMBER: 787878	White female 34 35	CLARKSBURG WV ROCKVILLE MD	Arrest (1)	
3	Kimberly Z Thompson Robert Smith Kim Ann James Atlanta PD ...	SSN: 460004649 DLNUMBER: DL67344 (California) FUGITIVEID: USM59214562 ...	White female 30	ATLANTA GA	Incident (1)	

Results 1 to 3 of 3 for person[IDs: [SocialSecurityNumber:460004649]]

Save **Subscribe** LinkVis GeoVis Collaboration

Figure 7-5 Known Person Result—Subscribe to Person Entity Match

- b. Enters his/her choice for the subscription name in the descriptive name field in the Create Subscription window. The name must be unique to the subscription (different from other subscription names) and meaningful to the subscriber to discern one subscription from another.
- c. Selects the subscription conditions under which he/she wishes to be notified (see Figure 7-6 Create Subscription Window—Subscribe to Person Entity Match). Under the Tell Me when area, users may click on the checkbox next to one or both of the following two subscription conditions:
 - i. When a new record matches my search.
 - ii. When another user searches for the same criteria.
- d. Clicks the Create button to create the subscription.

Unlike record-based subscriptions, entity-based subscriptions are not tied to individual records. If the record is deleted, a user will **not** be notified. Clicking on the Cancel button returns the user to the Known Person Results screen.

Figure 7-6 Create Subscription Window—Subscribe to Person Entity Match

7.1.4 Subscribe to a Person Entity Viewed

Users have the capability to set a subscription to be notified of an update to a person entity in N-DEx records. A user can then track if a new record gets added to the system or an existing record gets updated in selected N-DEx records. In addition, a user may subscribe to an entity search criteria to be notified that a matching search has occurred with another user's entity search criteria.

To set a Person Entity Viewed subscription, a user:

- a. Opens the selected Known Person Result record on the search results page by clicking on the Name link under the Name/Alias area to display the detailed record (see Figure 7-7 Person Entity Detailed Record—Person Entity Viewed).

Figure 7-7 Person Entity Detailed Record—Person Entity Viewed

- b. Selects the Subscribe link to open the Create Subscription window.
- c. Enters his/her choice for a subscription name. The name must be unique to the subscription (different from other subscription names) and meaningful to the subscriber to discern one subscription from another.

- d. Selects the subscription conditions under which he/she wishes to be notified (see Figure 7-8 Create Subscription Window—Person Entity Viewed). Users click on the checkbox next to one or both of the following two subscriptions:
 - i. When the selected entity changes.
 - ii. When the selected entity is viewed by another user.
- e. Clicks the Create button.

Create Subscription

Enter a descriptive name to uniquely identify the subscription.

Tell me when the selected entity:

☐ changes

☐ is viewed by another user

Create Cancel

Figure 7-8 Create Subscription Window—Person Entity Viewed

Clicking the Cancel button returns a user to the Person Details screen.

7.2 Managing Subscriptions

After one or more subscriptions have been created, users can select the Subscription tab on the toolbar to display the My Subscriptions screen (see Figure 7-9 My Subscriptions Screen).

From the My Subscriptions screen a user can manage each subscription. Specific parameters to be managed are:

- a. Subscription Name.
- b. Subscription Type.
- c. Subscription Status—active or inactive (the system defaults to active).
- d. Expiration date (the system defaults to 180 days).
- e. Created date.
- f. Start (the system default is the creation date).
- g. Notify Frequency (the system default is daily).
- h. Notify By (either no e-mail address or e-mail address).
- i. Notification Recipients.
- j. View Search Criteria.
- k. Edit the subscription.
- l. Delete the subscription(s).

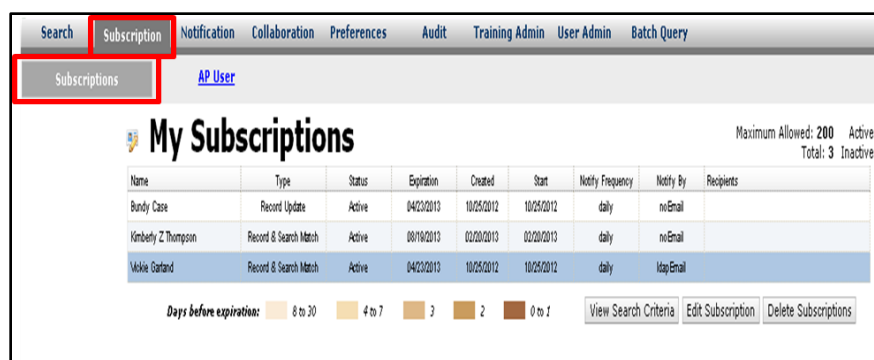


Figure 7-9 My Subscriptions Screen

7.2.1 My Subscriptions—View Search Criteria

To View Search Criteria for a particular subscription, a user selects that subscription by clicking on its name. This is the name the user chose when creating the subscription and is located in the Name column. Clicking on the subscription name will highlight the line entry for that subscription. When the View Search Criteria button is clicked, the search criteria utilized (which formed the basis for the subscription) will be displayed in the dialog window that displays (see Figure 7-10 My Subscriptions—Search Criteria Window).

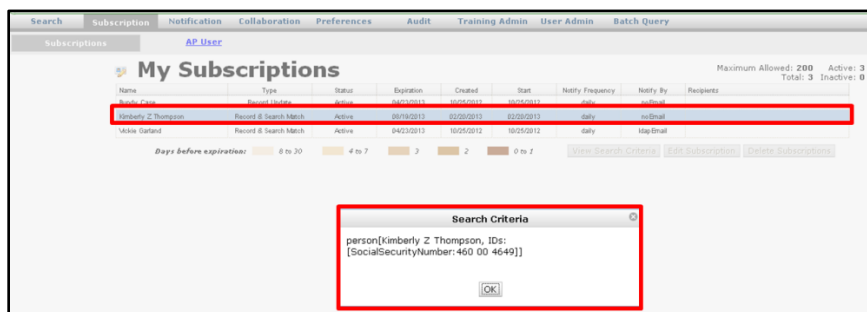


Figure 7-10 My Subscriptions—Search Criteria Window

7.2.2 My Subscriptions—Edit a Subscription

To edit an individual subscription, a user selects that subscription by clicking on its name which highlights its line entry. Clicking the Edit Subscription button deactivates all subscriptions in the My Subscriptions list except the one selected and allows the user to make changes (see Figure 7-11 My Subscriptions Screen—Edit a Subscription). Down arrows appear next to the Status, Expiration Date, Start Date, Notify Frequency, and Notify By items indicating menu choices are available so each can be edited (see Figure 7-11 My Subscriptions Screen—Edit a Subscription).

The Subscription Type and the Created Date cannot be edited. N-DEx supplies the Subscription Type based on where the subscription was created (what type of subscription: Search Match, Record Match, Person Entity Match, Person Entity Viewed or Record Update). The Created Date field is populated by the system with the date the subscription was created.

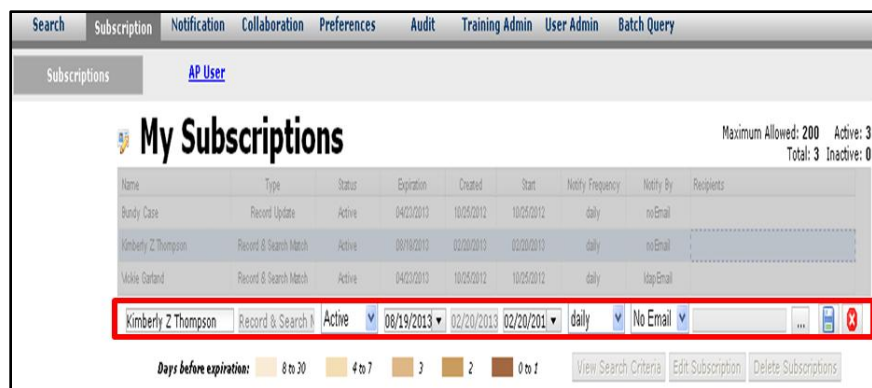


Figure 7-11 My Subscriptions Screen—Edit a Subscription

Changing the subscription name is completed by highlighting the existing name and clicking on the Edit Subscription button. The user can then change the name in the Name field by using the cursor and the backspace or delete keys on the keyboard. The user should then click the Save icon . Any time a subscription is edited, the edits must be saved by clicking the Save icon, (see Figure 7-11 My Subscriptions Screen—Edit a Subscription). Once the Edit button is clicked and the subscription highlighted, the Save icon displays.

Changing the subscription status involves clicking on the down arrow to display the Status menu, and choosing Active or Inactive (see Figure 7-12 My Subscriptions—Changing Status). Subscriptions are active by default when created and notifications are sent to users only when a subscription is active. Choosing Inactive will deactivate the subscription so it is not in effect and notifications will not be made. Reactivating the subscription involves changing its status to active. After changing the status of a subscription, the change should be saved by clicking the Save icon .



Figure 7-12 My Subscriptions—Changing Status

Changing the subscription's Expiration date involves clicking on the arrow in the Expiration column which displays a calendar. On the calendar, a new expiration date can be selected by clicking on the desired date which places that date in the Expiration column. After changing the subscription expiration date, the change must be saved by clicking the Save icon . Subscriptions expire on a default date automatically set by the system (180 days from the date the subscription was created) unless changed by the user. A legend is displayed at the bottom of the My Subscriptions screen, providing users with color coding for several expiration date ranges (see Figure 7-11 My Subscriptions Screen—Edit a Subscription). Days before Expiration: includes expiration reminders from 0 (zero) to 30 days. The system will color highlight the

expiration date when a subscription falls into one of the specific time frames. Such flags alert the user to the nearing expiration date of the subscription.

Changing the subscription's start date involves clicking on the arrow in the Start column which displays a calendar (see Figure 7-13 My Subscriptions—Changing Start Date). On the calendar, a new subscription start date can be selected by clicking on the desired date which places that date in the Start column. After changing the subscription start date, it must be saved by clicking the Save icon . A new subscription defaults its Start date to the creation date unless changed by the user.

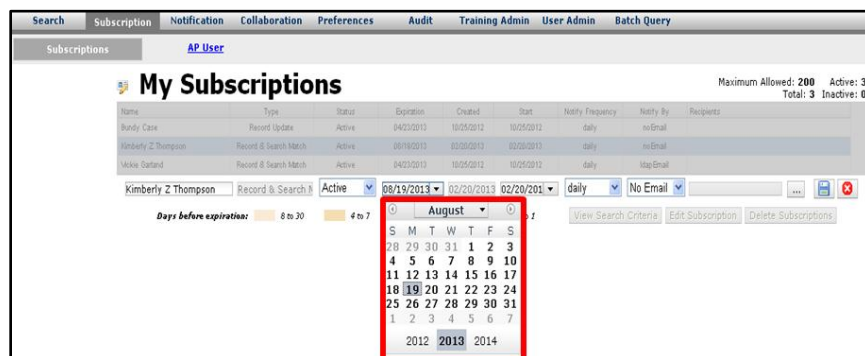


Figure 7-13 My Subscriptions—Changing Start Date

Changing the subscription's Notify Frequency involves clicking on the arrow beside the frequency field and making a selection (either Daily or Weekly) from the menu (see Figure 7-14 My Subscriptions—Notify Frequency). After changing the notification frequency, the change must be saved by clicking the Save icon . A subscription's Notify Frequency defaults to weekly upon creation unless changed by the user. The subscriber is automatically sent notifications as the subscription owner. Changing the Method of Notification for a subscription involves clicking the arrow beside the Notify By field to display the menu of available methods. Clicking on a menu item selects that method, which change must be saved by clicking the Save icon . The Notify By column displays the method of notification (either No Email or ldap Email). Lightweight Directory Protocol (ldap) is merely distributed directory information services such as a corporate e-mail directory. In the N-DEX application, ldap e-mail is the user's profile e-mail address as maintained by the system. Users are encouraged to use official e-mail address accounts to receive subscription notifications from N-DEX. Subscription notifications may contain PII which must be safeguarded. The use of an unofficial e-mail address account could compromise N-DEX information security.

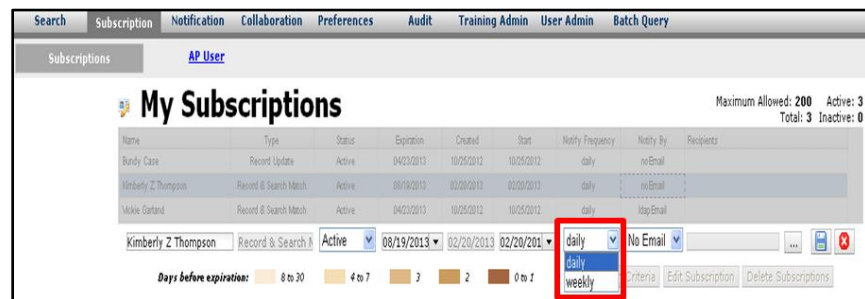
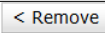
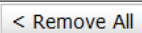


Figure 7-14 My Subscriptions—Notify Frequency

A subscriber may also select other N-DEx users and/or agency POCs as Recipients to receive notifications. Clicking the  icon displays the Add Users to Recipients List window (see Figure 7-15 My Subscriptions—Select Recipients).

- a. The Find feature is utilized by typing an individual's first and/or last names in the respective fields, then clicking the Find button to locate recipients. The user may also search for recipient name(s) using a wildcard (or asterisk symbol [*]) in the name field(s). For instance, entering M* in the last name field returns a listing of all N-DEx users whose last names begin with the letter M. The results of a search for users will be displayed in the box to the left of the Add and Remove buttons. Finding users can be repeated until all desired recipients are located.
- b. After finding a user, in order to add that user to receive subscription notifications, his/her name must be highlighted. Clicking the Add button  will display the selected user's name in the Selected Users box to the right of the Add and Remove buttons. Finding and adding users can be repeated until all desired recipients are selected and displayed in the Selected Users box. Clicking the OK button establishes all users under Selected Users as subscription recipients.
- c. Selecting the Add All button  moves all of the users displayed as a result of the Find search into the Selected Users box. To remove a user from the Selected Users box, the name must be highlighted and then the Remove button  clicked. That name is omitted from the selected recipients list.
- d. Selecting the Remove All button  removes all of the users from the Selected Users box. Clicking the OK button only adds Selected Users as notification recipients, not those user(s) who were removed from the recipient list.
- e. Clicking the Cancel button, cancels the transaction.

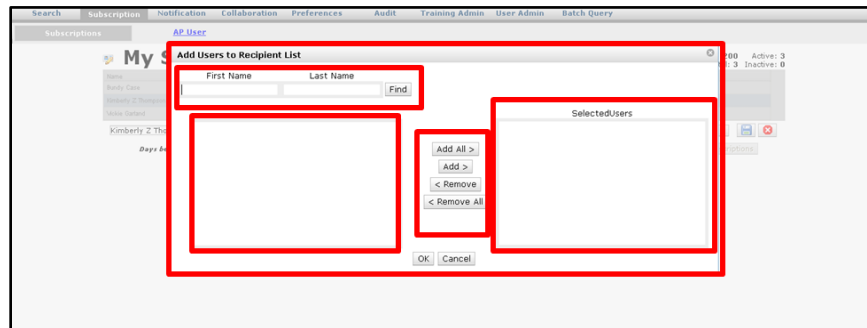


Figure 7-15 My Subscriptions—Select Recipients

Any user, added as a subscription recipient by the originator of that subscription, can unsubscribe if he/she doesn't wish to receive notification; see detailed instructions in Section 7.3.1: Notification—Detailed Reports.

The subscription originator **may not** unsubscribe from that subscription. However, by using the Delete Subscriptions button, the originator can delete the subscription.

7.2.3 My Subscriptions—Delete a Subscription

To delete an individual subscription, a user clicks on its name which highlights its line entry. The user should then click the Delete Subscriptions button. A Confirm Subscription Delete window

displays (see Figure 7-16 My Subscriptions—Delete Subscription). Clicking the Yes button confirms the subscription delete, removing it from the My Subscriptions list. Once deleted, the subscription originator **and** any other recipients will no longer receive notifications. The user can delete multiple subscriptions simultaneously by using the Shift and Control keys to highlight multiple subscriptions before clicking the Delete Subscriptions button. Clicking the No button cancels the deletion request, leaving the subscription active.

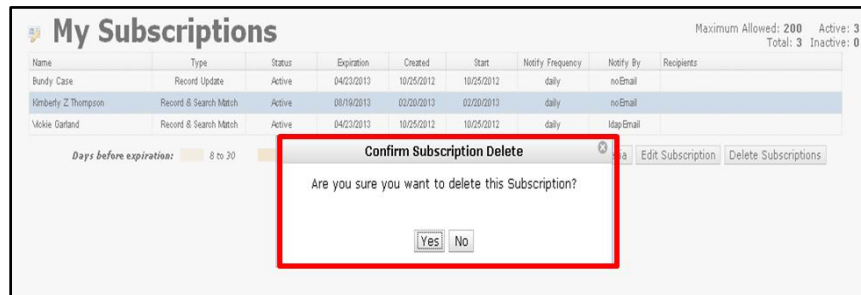


Figure 7-16 My Subscriptions—Delete Subscription

7.3 Managing Notifications

The Notification Inbox screen provides real time information about the results of a user's batch query results, his/her subscriptions (as the subscription originator) and about any notifications where the user has been designated a recipient by someone else (see Figure 7-18 Subscription/Notification—Using Notification). A user will also receive notifications from his/her agency N-DEx Training Administrator if enrolled in required training. The Notification Inbox also provides information about any Automated Processing Notifications the user has been designated to receive.

There are several events that will trigger a new notification including:

- Search/Query match (including a batch query).
- Record update.
- Expired subscription warning.
- Maximum notification limit alerts.
- Record match.
- Person Entity match.
- Person Entity Viewed match.
- Automated Processing match.

The maximum number of notifications for each user is set by the system at 20. To review notifications, users select the Notification tab (see Figure 7-17 Notification Tab).



Figure 7-17 Notification Tab

The Notification Inbox screen is the default view (see Figure 7-18 Subscription/Notification—Using Notification). On the Notification Inbox screen, notifications are displayed with the newest at the top of the list. Within the Inbox, a user can perform many functions to manage the notifications received from various subscriptions.

Viewed	Name	Type	DateTime	Summary	Detail Report	Delete
	viewRecordSub	Search Match	06/00/11 14:23:02	Index has detected that another user searched for the same search criteria that you subscribed to.		
	prohibit	Search Match	06/00/11 14:23:02	Index has detected that another user searched for the same search criteria that you subscribed to.		
	prohibit	Search Match	06/00/11 14:23:02	Index has detected that another user searched for the same search criteria that you subscribed to.		
	viewRecordSub	Search Match	06/00/11 14:23:02	Index has detected that another user searched for the same search criteria that you subscribed to.		
	DRR	Search Match	06/00/11 12:28:24	Index has detected that another user searched for the same search criteria that you subscribed to.		

Figure 7-18 Subscription/Notification—Using Notification

Users may page through their Notification Inbox using the arrow and tab icons. From left to right the icons are First Page tab , Previous Page Arrow , Next Page Arrow , and Last Page tab . Both arrows control paging between the current page being viewed and either the previous or next pages. Both tabs control movement within the notifications to either the first page or last page. The Inbox notifications total is provided to assist the user in monitoring the maximum allowable number of notifications. A user can change the number of notification results displayed per page by clicking the Change link (see Figure 7-19 Notification—Navigate Pages).

There are several columns of information in the Notification Inbox:

- Viewed (indicating whether the notification has been viewed).
- Name (Subscription Name).
- Type (Subscription Type).
- Date/Time (Date and Time of Notification).
- Summary.
- Detail Report.
- Delete Icon.

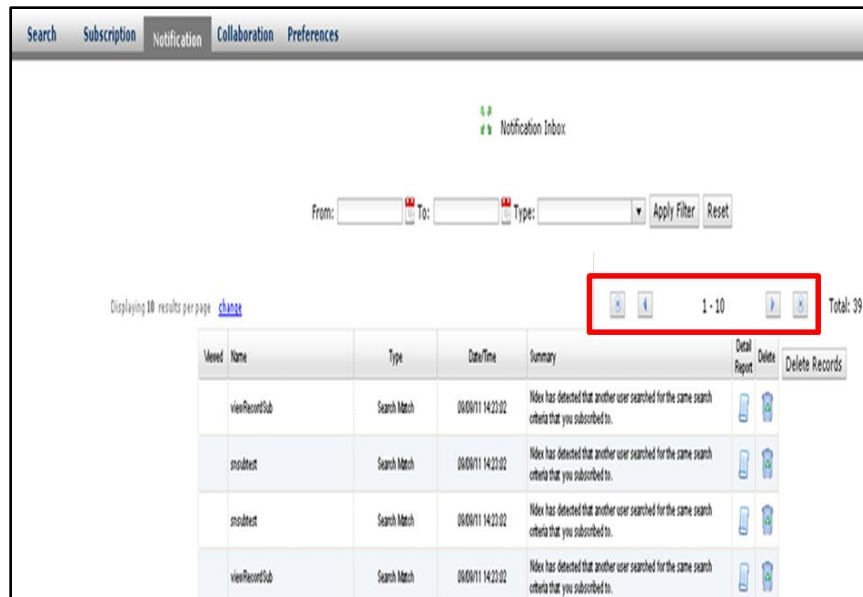


Figure 7-19 Notification—Navigate Pages

7.3.1 Notification—Detailed Reports

Each notification has a summary of the notification results. At a glance, this summary provides a user with a brief indication of what is contained within the notification; for example, “The N-DEX Subscription Service has detected that a new record has matched the following subscription...,” etc. Notification summaries are dependent upon the type of subscription.

A detailed report provides the exact details of the notification. For example, if another user is searching for the same entity criteria, the detailed report provides the name and contact information for that user. In our example, a detailed report for a Record Match notification type (a new record ingested into N-DEX that matches the user’s subscription) is illustrated (see Figure 7-20 Notification—Detail Report). The Detail Report provides a user with information regarding:

- a. Incident records that resulted from the user’s search that have been updated or deleted.
- b. Entities that exactly match the criteria that the user selects from his or her query.
- c. Others who are searching for the same entity criteria.

To view a detailed report of any notification, users click on the Detail Report icon  in the Detail Report column. N-DEX places a check mark  to the left of the notification in the Viewed Column to indicate that the report has been opened. A Detail Report result pane will open indicating the kind of notification.

In the Detail Report result pane:

- a. The Detail Report can be viewed and a user can determine the nature of the notification. The user can then take any action needed.
- b. A user, added as a recipient to a subscription by the originator of the subscription, can unsubscribe if he/she doesn’t wish to receive notification. After opening the detailed report, that user may unsubscribe by clicking the Unsubscribe button. The originator of a subscription **may not** unsubscribe from that subscription. The subscription originator

must delete that subscription; see detailed instructions in Section 7.2.3: My Subscriptions—Delete a Subscription.

The screenshot shows the 'Notification Inbox' interface. At the top, there are filters for 'From:', 'To:', and 'Type:', along with 'Apply Filter' and 'Reset' buttons. Below the filters, it says 'Displaying 10 results per page' and 'Total: 38'. The main table lists notifications with columns: Viewed, Name, Type, DateTime, Summary, Detail Report, and Delete. One notification is highlighted in blue, and its 'Detail Report' is shown in a pop-up window below the table. The pop-up window is titled 'Detail Report for This is viewRecordSub' and contains the following text:

The N-DEX Subscription Service has detected that a new record has matched the following subscription.
Subscription Name: viewRecordSub

Details

Date	Info
09/09/2011 13:20:04	User 'LEOHOUSTON_SRCH1' 'CITYHOUS houston_srch1' from ORI CITYHOUS can be contacted at: CITYHOUS_houston_srch1@eo.gov

DISCLAIMER: The data to which the above links refer may have changed since the time of the notification rule triggering or may no longer be valid links (deleted or otherwise unavailable).

At the bottom of the pop-up window, there is a red button labeled 'Unsubscribe'.

Figure 7-20 Notification—Detail Report

7.3.2 Filter Notifications

The Notification Inbox can be filtered to display notifications by date range or by type. To filter by date (see Figure 7-21 Notification—Filter List by Date), the user:

- Clicks the From: (oldest date) and To: (most recent date) fields or the calendar icon  to display a calendar.
- Selects From: and To: dates from the calendar display.
- Clicks the Apply Filter button which refreshes the screen and reorders notifications according to the user's date range selection.

Clicking on the Reset button returns the Notification Inbox to its default display.

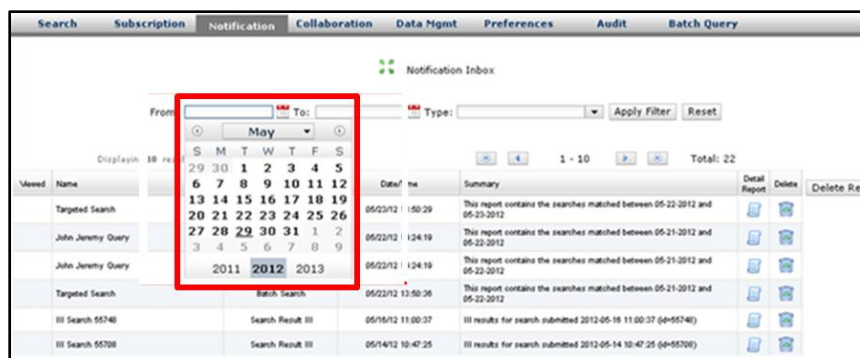


Figure 7-21 Notification—Filter List by Date

To filter the Notification Inbox by type of notification (see Figure 7-22 Notification—Filter List by Type) a user:

- Selects a Notification Type by clicking the down arrow to display a menu of available types. A Notification Type (Person Entity Match, Record Update, Record Match, Search Match, etc.) can either be highlighted on the menu or entered in the Type field to make the selection. Once the user begins typing, an auto fill capability provides a menu of types matching what the user is entering for selection.
- Clicks on the Apply Filter button to refresh the screen and display the notifications by the selected filter.

Clicking on the Reset button returns the Notification Inbox to its default display.

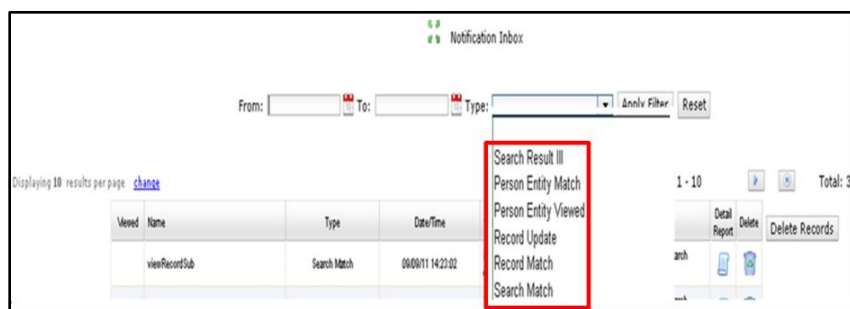


Figure 7-22 Notification—Filter List by Type

7.3.3 Delete Notifications

Oldest notifications are automatically removed if a new notification exceeds the maximum allowable number of notifications (20). If the notification is unread, N-DEx will attempt to e-mail the user. Users can also choose to delete individual notifications.

To delete a notification from the Inbox, users click on the notification to highlight it. Once selected, clicking the Delete icon  for that notification (see Figure 7-23 Notification—Delete a Notification) will display the Confirm Notification Delete window. Confirmation of the deletion must be made by clicking the Yes button. The user can delete multiple notifications simultaneously by using the Shift and Control keys to highlight multiple notifications before clicking the Delete icon . Clicking the No button cancels the request and the notification remains in effect.

The Delete Records button deletes **all** notifications in the Inbox.

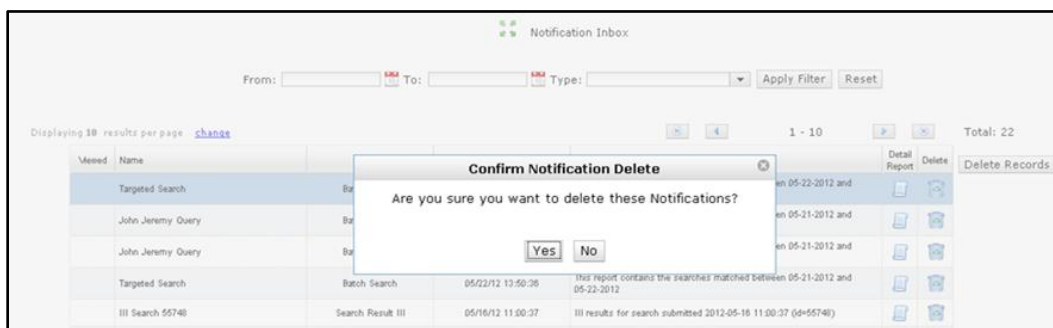


Figure 7-23 Notification—Delete a Notification

7.4 Automated Processing Subscription and Notification

The notification functionality includes not only notifications for subscriptions but also Automated Processing Notifications (AP Notifications) if the user has been designated to receive them by the agency's N-DEx Automated Processing Administrator (AP Admin). The automated processing service is provided to agencies that submit data. N-DEx can automatically seek correlations between an agency's newly submitted data and between that data and an agency's previously submitted data, and/or data submissions from other agencies. AP notifications will then be provided to the submitting agency. This feature is designed to provide agencies/users with information they might be unaware of otherwise.

For Automated Processing, a submitting agency must designate an AP Admin who is authorized to handle the agency's automated processing notifications. The AP Admin has the capability to configure who should be notified, when the notifications should occur, the frequency of notifications, and manage e-mail addresses for where the notifications are sent. Further details on how to use the notification functionality are provided in Section 7.3: Managing Notifications, while specific AP Admin responsibilities are covered in Section 10.6.43: Automated Processing Administrator Responsibilities.

Under the Subscription Tab, a user(s) designated to receive an agency's AP notifications will have an AP User sub-tab displayed when the Subscription tab is clicked. This sub-tab displays the Assigned Rules screen (see Figure 7-24 AP User—Assigned Rules). The AP Admin can generate reports on the Assigned Rules screen.

Available Assigned Rules/Reports are:

- View Record Report:** the AP Admin's agency is notified when another N-DEx user views their agency's records via a search result, a Link and/or Geo Visualization.
- Entity Match Report:** the AP Admin's agency is notified when a new record from their agency matches its own existing records. Additionally, notification is generated when a new record from another agency matches with the AP Admin's agency's records.

Specific AP Admin reporting responsibilities are covered in detail in Section 10.6.43: Automated Processing Administrator Responsibilities.

Search	Subscription	Notification	Collaboration	Preferences	Batch Query			
Subscriptions		AP User						
Assigned Rules								
Name	Type	Created	Notify Frequency	Notify Via	POCs	Edit	Delete	Report
R1 Person EM	EntityMatch	Sat Jan 14 2012 15:14:37 GMT-0500 (Eastern Standard Time)	Daily	Portal Only	LEOLEWIS_AP1			
Refresh								
Generated Reports								
Name		Type	Status	Created	Expires	Size		
Download Report		Save to Collaboration		Delete Report		Refresh		

Figure 7-24 AP User—Assigned Rules

8 COLLABORATION

N-DEx provides the capability to collaborate with other system users by forming working groups whose members share a common interest or want to cooperate for special purposes. Members share content generated within N-DEx including: reports, search results, and/or visualization charts. Members can also upload documents, pictures, and links introduced from outside of N-DEx into the user's personal and/or group collaboration workspace. N-DEx accepts all types of file formats including Access databases to videos without a size limit. Collaboration also delivers additional capabilities such as: creating and establishing discussion forums, creating a document library, and administering and managing groups, members and data. The N-DEx collaboration function has a main screen, or My Dashboard, with various features that a user can utilize to manage his/her collaborative interactions. Clicking the Collaboration tab launches the user's collaboration area to the My Dashboard (see Figure 8-1 Collaboration Tab).



Figure 8-1 Collaboration Tab

8.1 Collaboration My Dashboard

The collaboration dashboard permits tracking of all collaboration materials and consists of personal areas such as personal profile, calendar, documents, etc. It has an application toolbar which includes: My Dashboard, My Profile, Sites, and People (see Figure 8-2 Collaboration—My Dashboard Screen). The collaboration dashboard contains several different areas:

- a. **My Profile:** contains the user's full name, e-mail address and phone number. This information cannot be modified from within Collaboration. The e-mail address and phone number must be changed from within the Preferences in N-DEx.
- b. **My Documents:** displays all recently created or modified documents for member collaboration sites.
- c. **My Sites:** displays all collaboration sites created by the user. Also displayed are sites (created by other users) the user has joined as a member.
- d. **My Calendar:** contains a condensed view of events the user has created and/or events for sites (created by other users) the user has joined.
- e. **Content I'm Editing:** displays Documents, Blog posts, Wiki pages and Forum posts that the user added to the site.
 - i. **Documents:** enable storage and management of site content, such as documents, media files, or graphics.
 - ii. **Blog Posts:** enable the addition of commentary, descriptions of events, graphics or video related to a site.
 - iii. **Wiki Pages:** enable display of an introduction or description of the site.
 - iv. **Forum Posts:** enable threaded discussions with user-generated questions and/or comments.
- f. **My Tasks:** displays assigned tasks resulting from site participation (existing or new member sites). This is where a user can accept or reject invitations, etc.

To resize any area of the dashboard, the user should click on the resizing bar  located at the bottom, center of each area. The resizing bar allows users to adjust its height (see Figure 8-2 Collaboration—My Dashboard Screen).

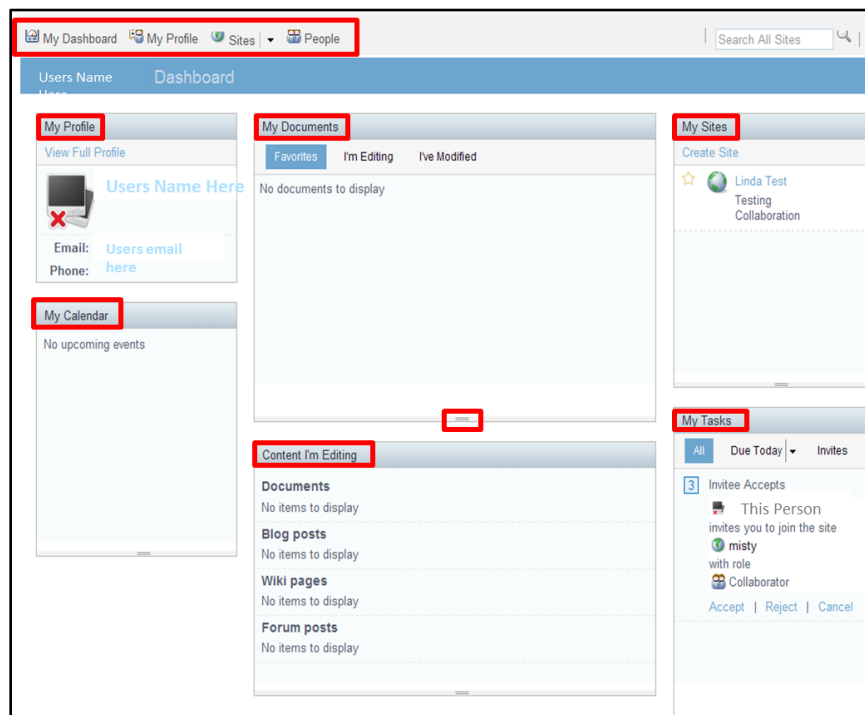


Figure 8-2 Collaboration—My Dashboard Screen

8.2 Create a New Collaboration Site

Once on the main collaboration My Dashboard, in order to create a new collaboration site, users perform the following steps.

In the My Sites area, the Create Site link is clicked (see Figure 8-3 Collaboration—My Sites—Create New Site) to display the Create Site dialog window.

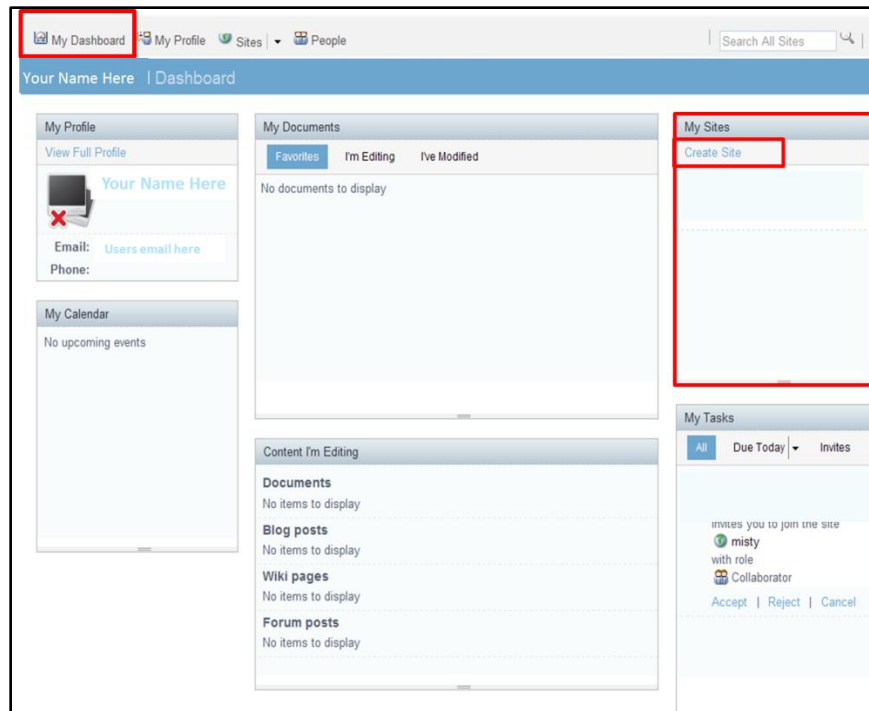


Figure 8-3 Collaboration—My Sites—Create New Site

Within the Create Site dialog window (see Figure 8-4 Collaboration—Create Site Dialog Window), the user should complete the following information (mandatory fields designated by an asterisk):

Create Site

Name: *

URL Name: *

This is part of the site URL such as
http://domain.com/share/page/site/<URL Name>/dashboard
Do not use spaces or special characters.

Description:

Type:

Visibility: ☒ Public
☐ Moderated site membership
Site managers can control who joins the site
☐ Private

Figure 8-4 Collaboration—Create Site Dialog Window

- a. **Name***: a user selected descriptive name for the new site.
- b. **URL Name***: one or more alphanumeric characters without spaces or special characters.

- c. **Description:** word or phrase which identifies the site being created and distinguishes it from other sites.
- d. **Type:** Collaboration is the only available site type.
- e. **Visibility:** Public access sites can be viewed by all N-DEx users, whether or not they join in the site. For a Moderated public site, the Site Manager (the site's creator) controls who joins the site by accepting or rejecting membership requests. In a Private site, the Site Manager invites users to join. In both Moderated and Private sites, content of the site cannot be viewed until a user is a member.

Once the fields have been completed, clicking the OK button creates the new collaboration site. The new site's name and description (if entered) are now displayed in the My Sites area (see Figure 8-5 Collaboration—My Sites Area).

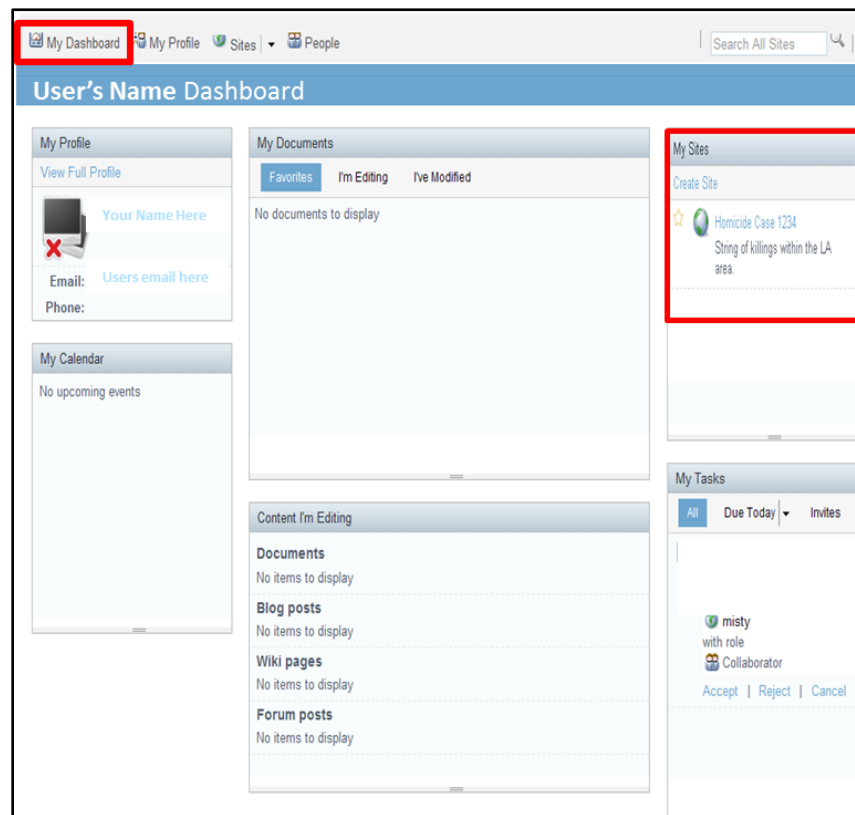


Figure 8-5 Collaboration—My Sites Area

On the main collaboration My Dashboard screen, the My Sites area displays all of the user's sites (those the user has created and also any sites (created by another person) which the user has joined. In our example, after creating the *Homicide Case 1234* site, it appears in the creator's My Sites listing. Each site name serves as a link which, when clicked, displays the site's dashboard.

Upon opening a site, each site has its own Site Dashboard and toolbar where site functions can be utilized (see Figure 8-6 Site Dashboard).

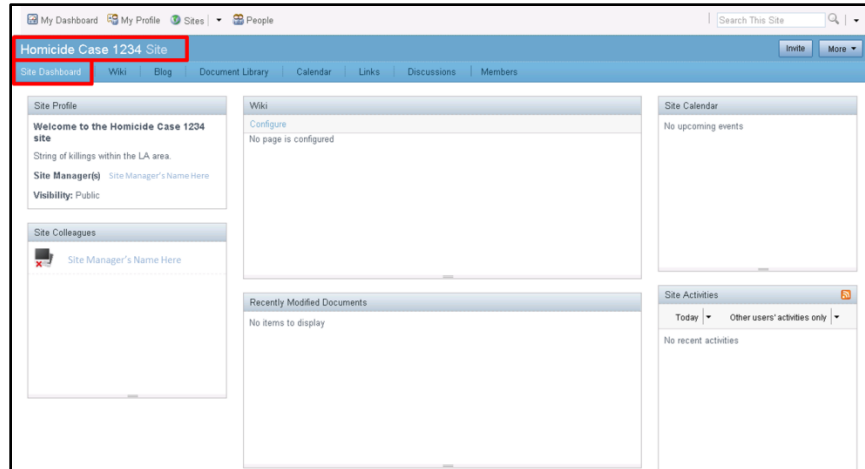


Figure 8-6 Site Dashboard

Toolbar functions include: Wiki, Blog, Document Library, Calendar, Links, Discussion and Members.

After creating a new site, to maximize its collaborative potential the creator can:

- Create an introduction and explanation for the site (or a Wiki).
- Upload documents relative to the site's purpose and establish its initial content (Document Library).
- Update previously uploaded documents.
- Invite members (Invite).
- Schedule events as needed (Calendar).

8.2.1 Wiki Page (Create Site Introduction)

After creating a new collaboration site, users can write an introduction to the site which explanation is added as a Wiki page. The introduction provides information about the site to invitees or new members and is added to the Wiki area on the site dashboard. To create a Wiki, on the new site's dashboard, a user:

- Clicks on the Wiki tab to open the Wiki Main page. Three icons are available: New Page, Delete and Rename (see Figure 8-7 Collaboration—Wiki Main Page).

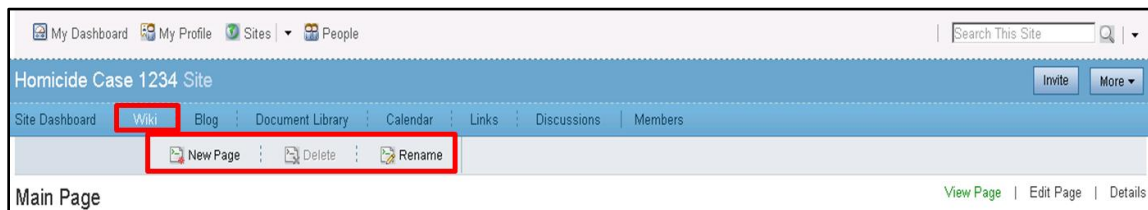


Figure 8-7 Collaboration—Wiki Main Page

- Displays the Create Wiki page by clicking the New Page icon  (see Figure 8-7 Collaboration—Wiki Main Page).
- Enters a collaboration site title in the Title field.
- Writes an introduction to the new collaboration site (provides a description or explanation of the site, its purpose and content) in the Text field. Word processing tools are available

through the toolbar. (Placing the mouse over each icon displays a brief description of its functionality).

- e. Enters keywords, or a “tag,” in the Tags field. A Tag allows for searching of content.
- f. Clicks the Add button  to add the tag to the new collaboration site.

[illegible]

Figure 8-8 Collaboration—Create Wiki Page

- g. Clicks the Save button to save the Wiki page. The Wiki displays in the Wiki area of the site's dashboard (see Figure 8-9 Collaboration—Site Dashboard Screen).

My Dashboard

My Profile

Sites

People

Search This Site

Homicide Case 1234 Site

InviteMore

Site Dashboard

Wiki

Blog

Document Library

Calendar

Links

Discussions

Members

Site Profile

Welcome to the Homicide Case 1234 site

String of killings within the LA area.

Site Manager(s): User's Name here

Visibility: Public

Wiki - Homicide Case 1234

Configure

Welcome to the Collaboration site established to share information on the Homicide Case number 1234.

Site Calendar

No upcoming events

Figure 8-9 Collaboration—Site Dashboard Screen

8.2.2 Add the Introduction to the Site Dashboard

Once a Wiki page is created, users can set it as the main Wiki page. The content for this page appears in the Wiki area on the site dashboard.

Within the current site, users click the Site Dashboard sub-tab (see Figure 8-10 Site Dashboard—Wiki Configure Screen).

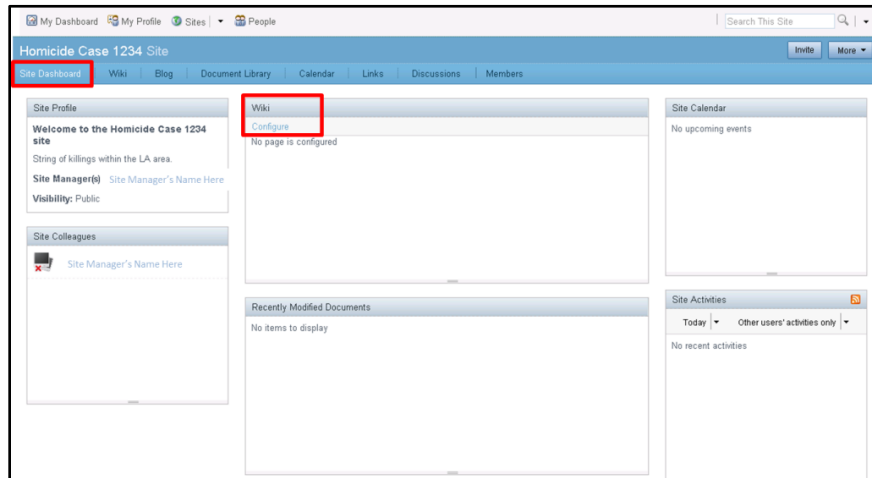


Figure 8-10 Site Dashboard—Wiki Configure Screen

Next, Configure (in the Wiki area) is to display the Select Wiki Page dialog window (see Figure 8-11 Select Wiki Page Dialog Window).

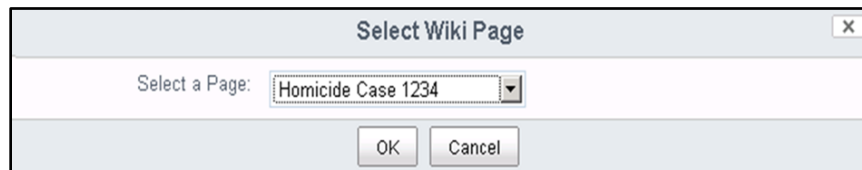


Figure 8-11 Select Wiki Page Dialog Window

Clicking the OK button accepts the newly created page. The text from this Wiki page displays in the Wiki area (see Figure 8-12 Collaboration—Updated Wiki Area Screen).

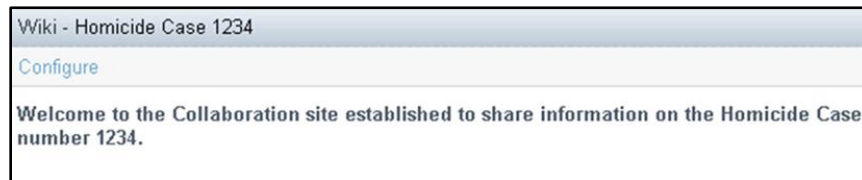


Figure 8-12 Collaboration—Updated Wiki Area Screen

8.2.3 Edit, Rename, or Delete a Wiki Page

After creating a Wiki page for a new collaboration site, it can be edited, renamed, or deleted. To edit a Wiki page, a user enters the new site by clicking on the Site Name link (in the My Sites area) which opens the site's dashboard (or Wiki). On the Site Dashboard, a user:

- a. Clicks Edit Page (see Figure 8-13 Collaboration—Edit, Delete, and Rename Wiki Screen) which displays the Create Wiki Page screen allowing changes to information previously entered for the Title, Text, or Tags.

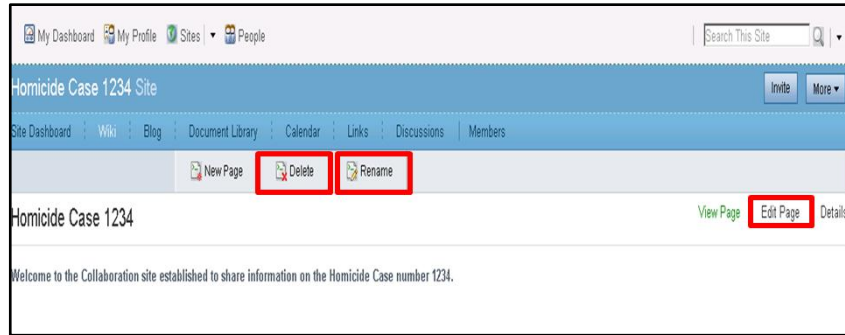


Figure 8-13 Collaboration—Edit, Delete, and Rename Wiki Screen

- b. Clicks the Save button to retain the edits (see Figure 8-8 Collaboration—Create Wiki Page).
- c. The newly edited page displays under the Wiki tab.

A Wiki page can be deleted if no longer needed. To delete a Wiki page, a user enters the collaboration site by clicking on the site name (in the My Sites area) which opens the site dashboard. Once opened, a user:

- a. Clicks the Delete icon  (see Figure 8-13 Collaboration—Edit, Delete, and Rename Wiki Screen) which displays a Delete dialog window requesting confirmation that the page should be deleted (see Figure 8-14 Collaboration—Delete Wiki Screen).

AND

- b. Clicks the Delete button to delete the Wiki page.

OR

- c. Clicks the Cancel button if the Wiki page should not be deleted.

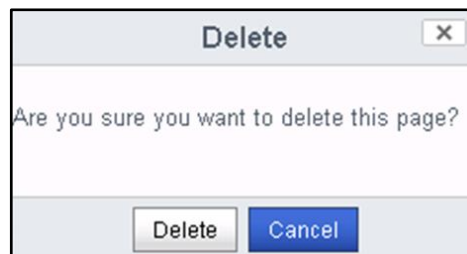


Figure 8-14 Collaboration—Delete Wiki Screen

After a Wiki page has been created, a user can change the name of the page. The Collaboration site is entered by clicking on the site name (in the My Sites area) which opens the site dashboard. To rename the Wiki page, a user:

- a. Clicks the Rename button to display the Rename dialog box (see Figure 8-13 Collaboration—Edit, Delete, and Rename Wiki Screen).
- b. Makes any changes in the name of the page in the blank field in the dialog box (see Figure 8-15 Collaboration—Rename Wiki Screen).
- c. Clicks the Save button which saves the Wiki page under a new name. Both the old and the newly renamed Wiki pages will be listed.

A user can exit out of the dialog box without renaming the Wiki page by clicking the close icon .



Figure 8-15 Collaboration—Rename Wiki Screen

8.2.4 Upload Documents to the Site

To upload documents to the site to be shared among group members, the site's creator:

- Clicks the Document Library sub-tab then clicks Upload to load the files which opens the Upload File dialog window (see Figure 8-16 Document Library Screen).

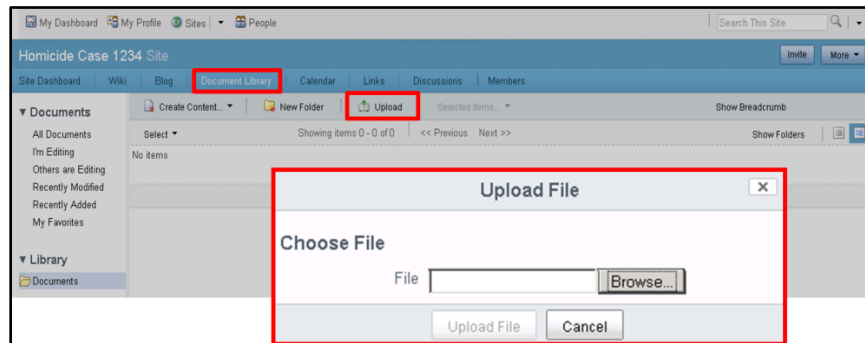


Figure 8-16 Document Library Screen—Upload File

- Clicks the Browse button to locate the file(s) from the user's personal computer files and selects the file(s) by clicking on the computer file name to highlight it (see Figure 8-17 File Upload Screen). Selecting the file will also place that file name in the File Name field on the File Upload screen.

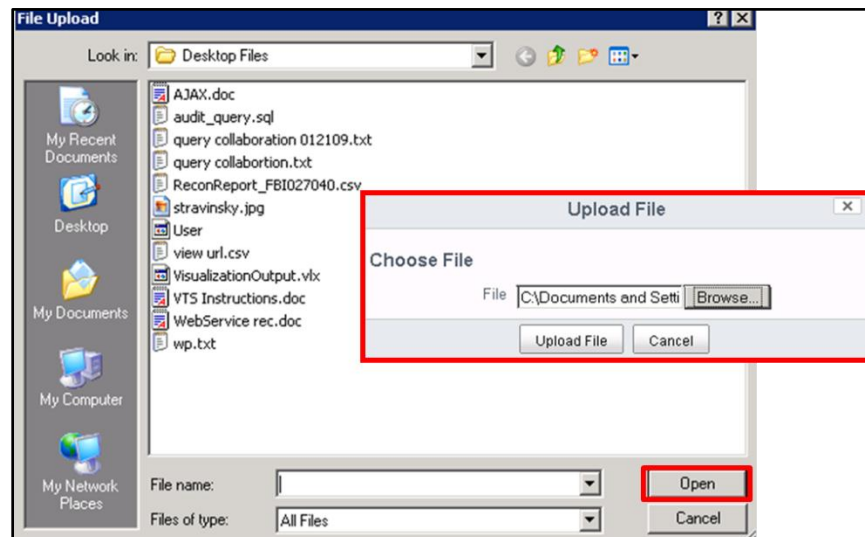


Figure 8-17 File Upload Screen

- Clicks the Open button on the File Upload Screen which displays the Upload File dialog window (see Figure 8-17 File Upload Screen).
- Clicks the Upload File button to add the selected document to the collaboration site.

The uploaded file(s) will be displayed in the Document Library (see Figure 8-18 Document Library Screen).

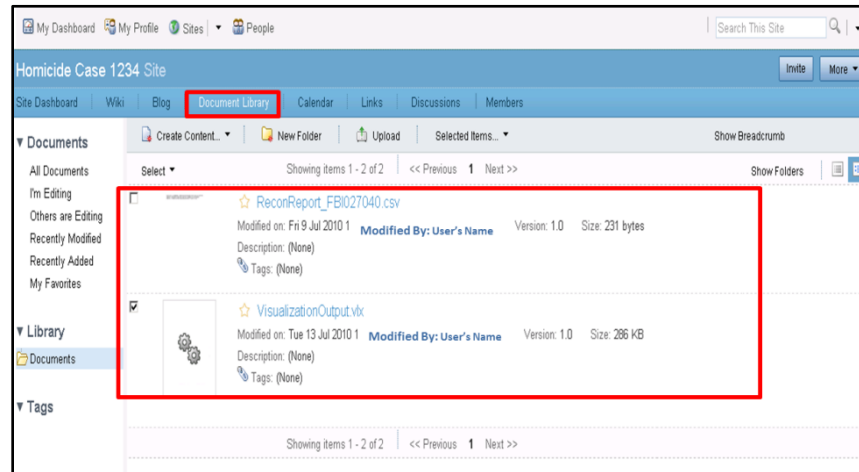


Figure 8-18 Document Library Screen

8.2.5 Revise Uploaded Documents

Editable documents can be modified after they have been uploaded. In the Document Library, a user selects a document by clicking on the document name to highlight it (see Figure 8-19 Document Library—Select A Document).

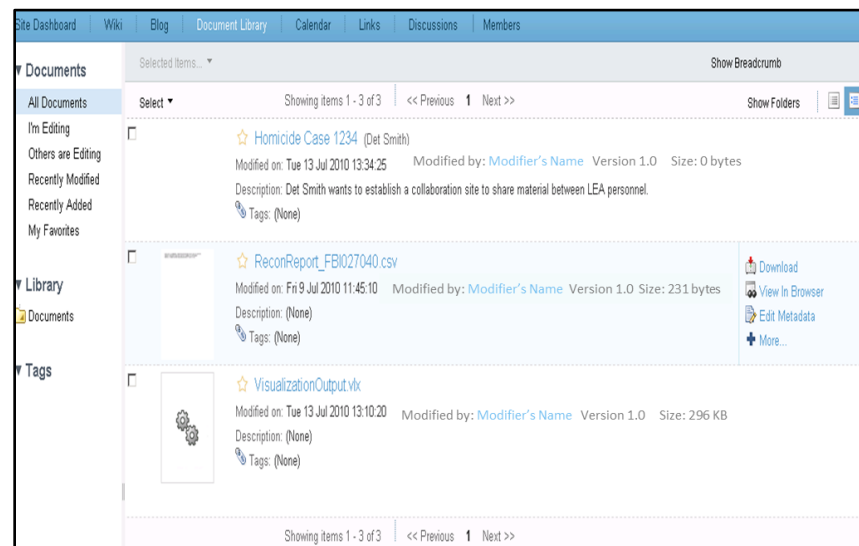


Figure 8-19 Document Library—Select A Document

Clicking the More button  expands the menu options where the user then selects the Edit Offline (see Figure 8-20 Update Document—Edit Offline).



Figure 8-20 Update Document—Edit Offline

The document content moves to the I'm Editing view that indicates the document is checked out. Clicking OK opens the content item in a location where it can be edited (see Figure 8-21 Open Document File for Editing). The document name will be appended to include (Working Copy), for instance, ReconReport_FBI027040 (Working Copy).csv.

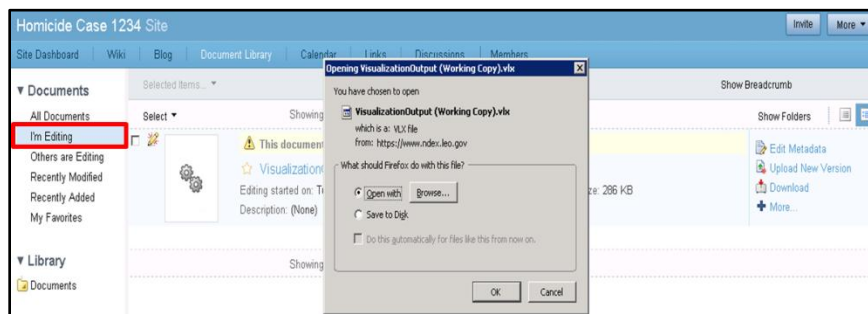


Figure 8-21 Open Document File for Editing

To edit the document, a user navigates to it on his/her personal computer where the necessary revisions can be made. The revised document should be saved.

To upload the revised document, the user:

- a. Selects the I'm Editing feature (see Figure 8-22 I'm Editing Document—Upload New Version).

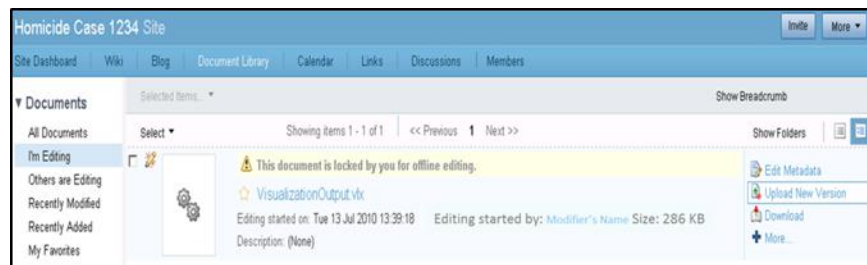


Figure 8-22 I'm Editing Document—Upload New Version

- b. Selects the modified document from the document list.
- c. Clicks the Upload New Version button to display the Update File dialog window (see Figure 8-23 Update File Dialog Window—Upload Modified File).

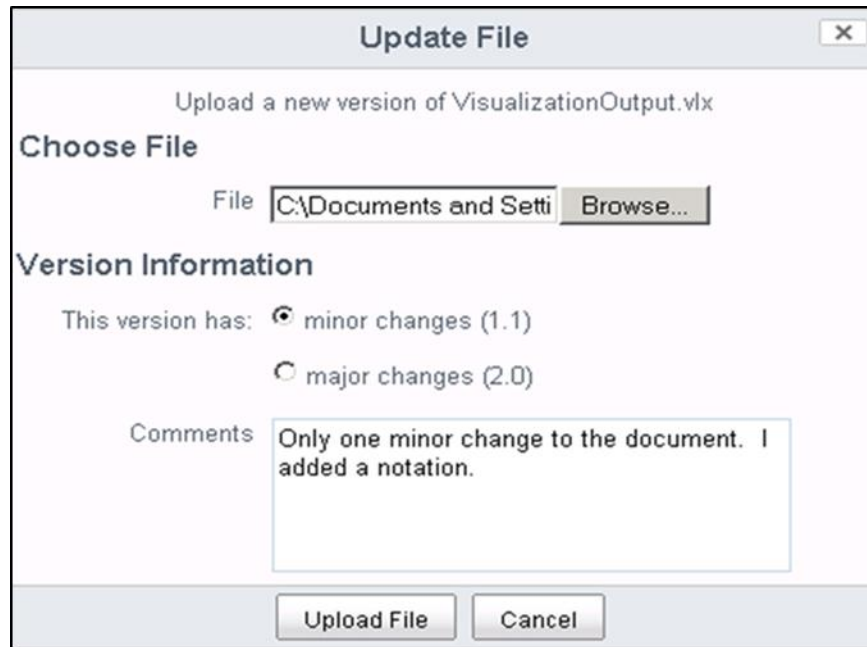
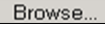


Figure 8-23 Update File Dialog Window—Upload Modified File

- d. Clicks on the Browse icon  which locates the revised document (with the Working Copy file name which was saved on his/her computer).
- e. Selects the document which displays it in the Update File page.
- f. Specifies the version change and inputs any comments (which members of the collaboration site can view).
- g. Clicks the Upload File(s) button to display the updated document in the All Documents view of the Document Library (see Figure 8-24 Collaboration Site—Document Library All Documents).

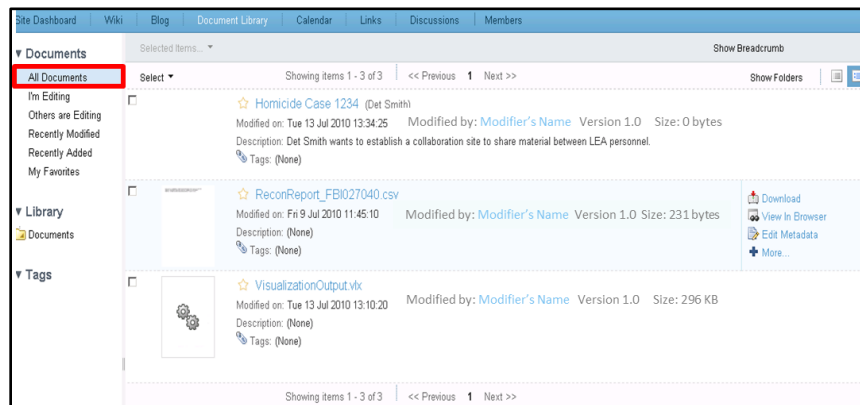


Figure 8-24 Collaboration Site—Document Library All Documents

There are several other document-related features to choose from including (see Figure 8-25 Update Document—Other Document Actions):

- a. Download: saves the document to a folder on the desktop.
- b. View In Browser: permits viewing the document in a web browser format.
- c. Edit Metadata: edits or changes the document's name, title, description, author, etc.

- d. Copy To: copies the document from one collaboration site to another site. Also, copies the document from one folder to another folder within the user's own collaboration site.
- e. Move To: moves the document from one collaboration site to another site. Also, moves the document from one folder to another folder within the user's own collaboration site.
- f. Delete Document: deletes the document from the collaboration site.
- g. Assign Workflow: assigns a site member to work on a particular document.
- h. Manage Permissions: grants document permissions per each site member.

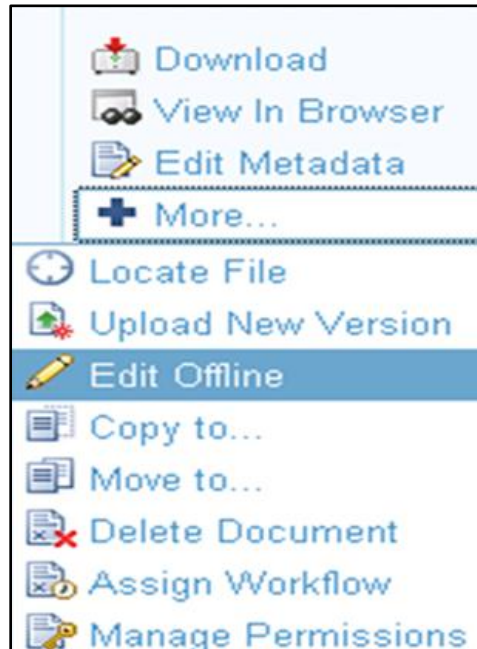


Figure 8-25 Update Document—Other Document Actions

8.2.6 Schedule Site Events

As part of promoting this collaboration site, the site manager may want to schedule an initial event to welcome the new users and discuss the purpose of the site. To schedule an event:

- a. Within the new site, click the Calendar sub-tab. The Calendar page component opens (see Figure 8-26 Calendar—Initial Screen).

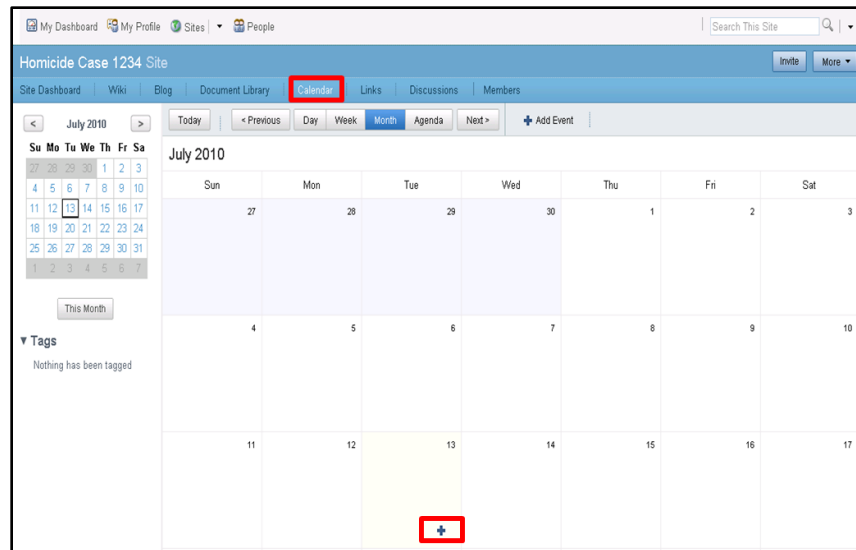


Figure 8-26 Calendar—Initial Screen

- b. Select the date and click the Add Event icon . The Add Event page displays. Enter the event details within the Add Event box and then click  (see Figure 8-27 Calendar—Add Event Screen).

Figure 8-27 Calendar—Add Event Screen

- c. Return to the calendar and the new event now appears on the date scheduled (see Figure 8-28 Calendar—Event Posted Screen).

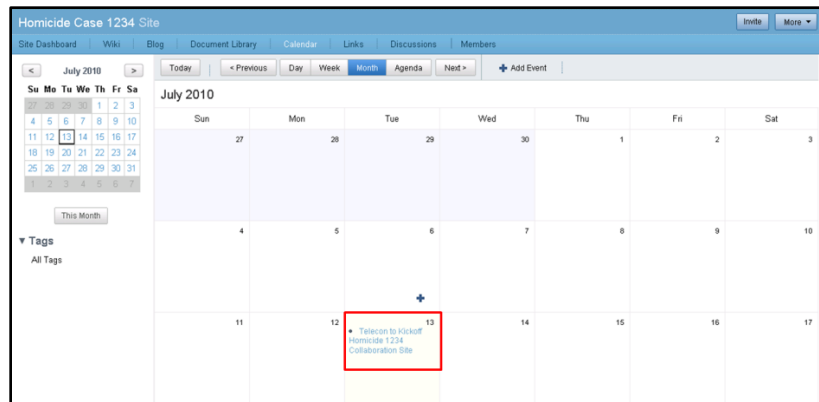


Figure 8-28 Calendar—Event Posted Screen

- d. The event will appear in the Site Dashboard within the Site Calendar Section and on My Dashboard (see Figure 8-29 Calendar—Site Dashboard Screen). No notifications are sent to the members.

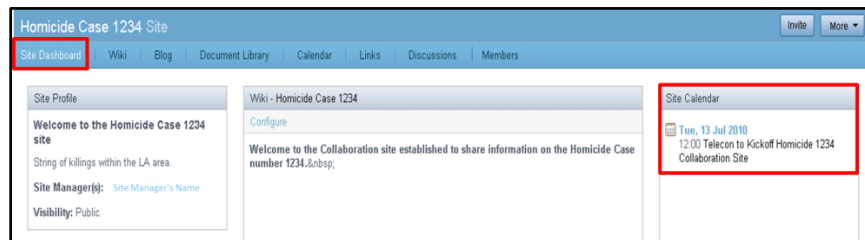


Figure 8-29 Calendar—Site Dashboard Screen

8.3 Site Membership

After a user establishes a collaboration site, the user can invite other N-DEx users to join.

8.3.1 Invite Members

The site moderator can invite an N-DEx member(s) to join the site by:

- a. Clicking the Invite button to display the Search for People section (see Figure 8-30 Collaboration Site—Invite Members).

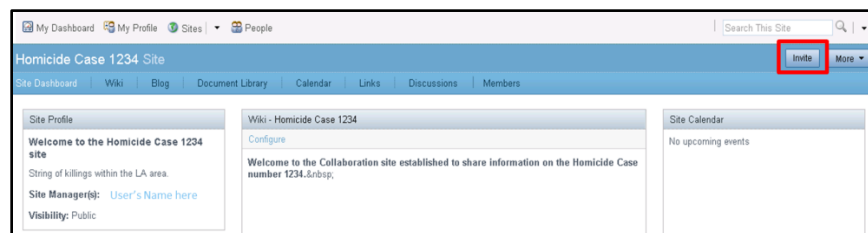


Figure 8-30 Collaboration Site—Invite Members

- b. Searching for a member(s) by typing the full or partial name of an invitee.
c. Clicking the Search button to initiate the search and return results (see Figure 8-31 Members Invitation Screen—Search for People).

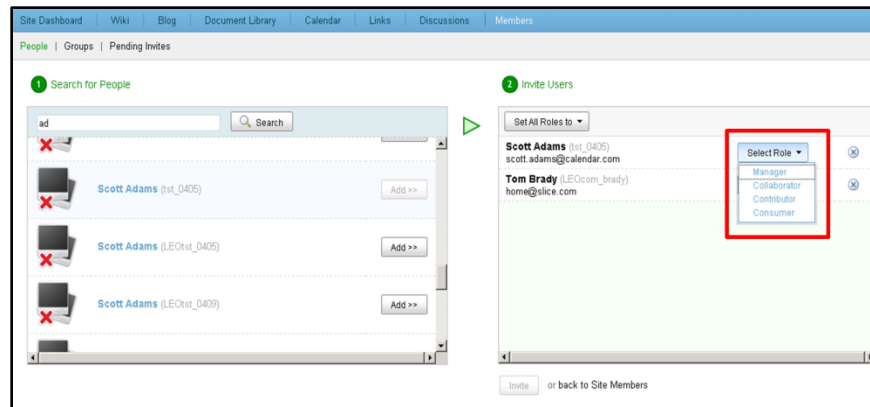


Figure 8-31 Members Invitation Screen—Search for People

- d. Clicking the Add button  beside any user's name to display that name in the Invite Users area.
- e. Assigning each invitee a site role by clicking the arrow beside Select Role which displays a menu of site roles (see Figure 8-32 Invite Site Members—Select User Role).
- f. Selects a role from the Set All Roles menu which displays that role in the Invite Users area beside his/her name. It will apply the same role to all invitees (see Figure 8-32 Invite Site Members—Select User Role). Collaboration site roles are:
 - i. The **Manager**'s role has all of the permissions: read, add, edit, and delete.
 - ii. The **Collaborator** has read, add, and edit permissions. Caution should be used when assigning site members as Collaborators because it allows the individual(s) to edit any site user's blog or forum.
 - iii. The **Contributor** has read and added permissions.
 - iv. The **Consumer** has only the read permission.

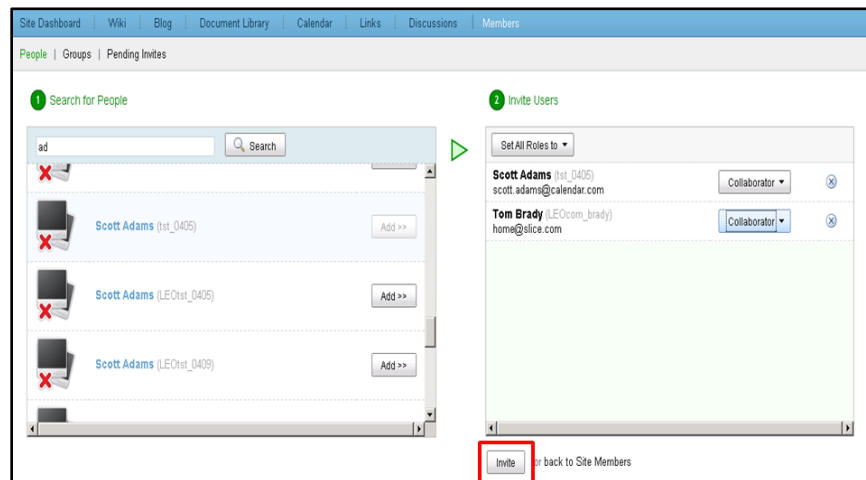


Figure 8-32 Invite Site Members—Select User Role

- g. Clicking the Invite button to finalize all selected invitees (see Figure 8-32 Invite Site Members—Select User Role). If an invitation fails to e-mail, a message displays indicating it was not sent. The primary reason for a failure is an invalid e-mail address.

OR

- h. Clicking the  beside the Select Role button will remove an invitee.

The invitee receives an e-mail instructing him/her to join the Collaboration site by accessing N-DEx and clicking the Collaboration tab and then the My Dashboard sub-tab. The invitation is located within the My Tasks area (see Figure 8-33 My Dashboard—My Tasks—Site Membership Invitation). When the user clicks Accept, he/she responds affirmatively to the invitation and is admitted to the collaboration site.

An invitee always has the option to reject and/or cancel any invitation. If the invitee clicks either Reject or Cancel, the invitation is declined and site membership is not secured.

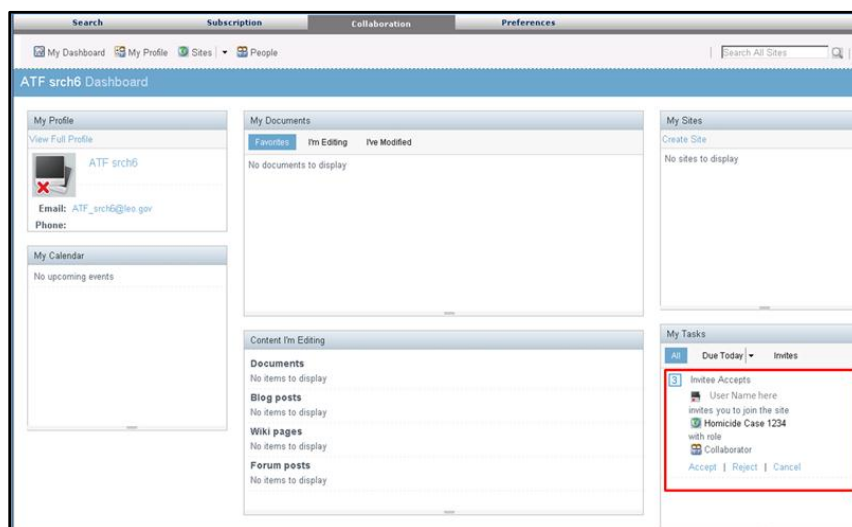


Figure 8-33 My Dashboard—My Tasks—Site Membership Invitation

8.3.2 Manage Members

The Members feature of Collaboration enables the Site Manager to search for existing members from within the site in order to change their roles or remove them altogether from the collaboration site. The Site Manager can also invite new members.

- a. Within the site, click the Members sub-tab. The Search for Site Members dialog box opens (see Figure 8-34 Members—Search for Site Members Screen).

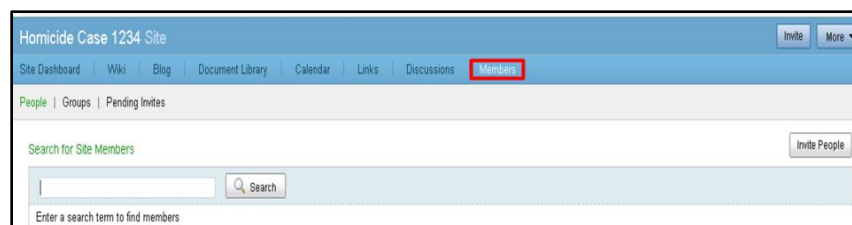


Figure 8-34 Members—Search for Site Members Screen

- b. In the Search for Site Members Section, type the full or partial name of a current site member and click Search. To change the site member's current role, the Site Manager clicks the drop down box and selects a different role. To remove a member altogether from the site, click the Remove button **Remove** (see Figure 8-35 Members—Change Roles or Remove Members Screen).

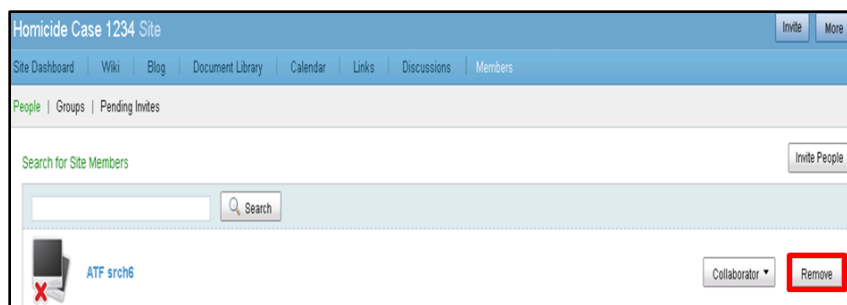


Figure 8-35 Members—Change Roles or Remove Members Screen

The Site Manager can invite additional members to the site by clicking the Invite People button to display the Search for People page (see Figure 8-31 Members Invitation Screen—Search for People). The Site Manager follows the same invitation process as previously described in this chapter; see detailed instructions in Section 8.3.1: Invite Members, bullets 2 – 7.

8.4 Establish Links, Blogs, and Discussions

Within the collaboration area, the Site Manager can establish links and blogs. Links can be created to articles and/or websites related to the collaboration content. Blogs provide opportunities for adding commentary, describing event(s), and/or adding other material related to the site. Also, the manager can establish discussion forums where questions and/or comments can be posted to discussion threads.

8.4.1 Establish Site Links

Users can also establish links to articles of interest from within the collaboration site and, therefore, maintain a list of web links related to the site. To create a link within the site, the user:

- a. Clicks the Links sub-tab (see Figure 8-36 Links—Initial Create Link Screen).
- b. Clicks the New Link button in the upper left corner of the screen to display the Create Link box.
- c. Enters the following information (mandatory fields are marked with an asterisk):
 - i. **Title:** a descriptive name that describes the link.
 - ii. **Description:** information to distinguish this link from others.
 - iii. **URL:** the actual web address where the article is located; it cannot contain any spaces or special characters.
 - iv. **Internal:** check the box in order to mark the link as internal so it will open in the same browser window. Otherwise, the link opens a new browser window or tab.
 - v. **Tags:** enter a simple, personal identifier to the link to help members locate the link within the Links List. Tags are keywords that allow for easier searching of content.
- d. Clicks the Save button to display the new link under the Links List area.

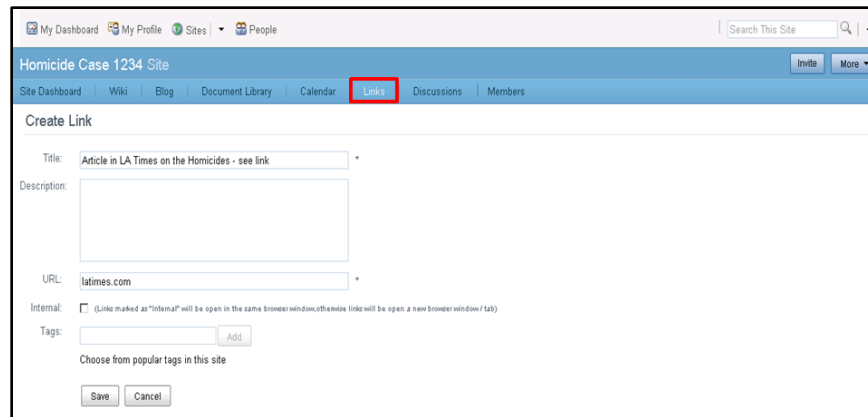


Figure 8-36 Links—Initial Create Link Screen

Comments can be added to the link within the Add Comments area for members of the site to view, or the link can be edited or deleted as needed using the Edit or Delete function keys (see Figure 8-37 Links—Links List Screen).

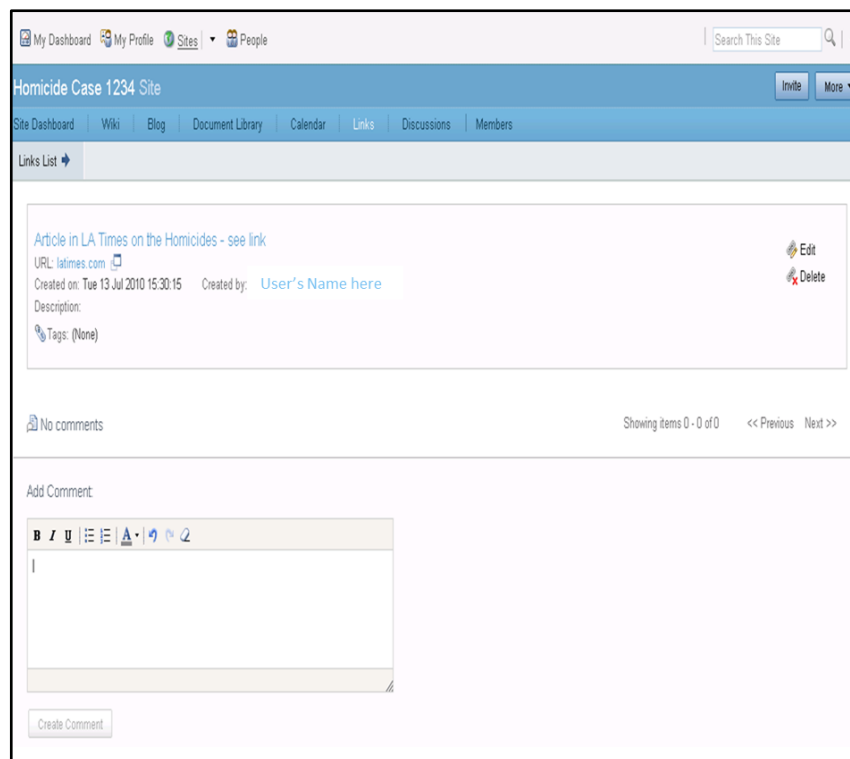


Figure 8-37 Links—Links List Screen

8.4.2 Establish Site Blogs

The Blog feature enables the addition of commentary, a description of event(s), and other material related to the site. Within the site, to create a blog the user:

- Clicks the Blog sub-tab (see Figure 8-38 Blog—Initial Create Blog Post Screen).
- Clicks the New Post button in the upper left corner of the screen to display the Create Blog Post dialog box appears (see Figure 8-38 Blog—Initial Create Blog Post Screen).

The screenshot shows a web application interface for 'Homicide Case 1234 Site'. The top navigation bar includes links for 'Site Dashboard', 'Wiki', 'Blog' (which is highlighted with a red box), 'Document Library', 'Calendar', 'Links', 'Discussions', and 'Members'. Below the navigation bar is the 'Create Blog Post' form. It contains a 'Title' field with the text 'Might have found found a matching crime in San Francisco', a 'Text' field with a rich text editor toolbar and the text 'San Francisco Crime Matched', and a 'Tags' field with an 'Add' button. At the bottom of the form are three buttons: 'Save as Draft', 'Publish Internally', and 'Cancel'.

Figure 8-38 Blog—Initial Create Blog Post Screen

- c. Adds the following information (mandatory fields are marked with an asterisk):
 - i. **Title:** a descriptive name that describes the blog.
 - ii. **Text:** information such as opinions or discussion on various topics related to the site.
 - iii. **Tags:** keywords that allow for easier searching of content.
 - iv. Click Save as Draft to save any current updates in order to return to it at a later time or click Publish Internally to share the blog with members of the collaboration site.

OR

- d. Clicks Cancel to eliminate the blog post.

8.4.3 Establish Site Discussions

The Discussion feature enables users to post questions or comments with threaded discussions. To establish a site discussion area within the site, the user:

- a. Clicks the Discussions sub-tab (see Figure 8-39 Discussions—Initial Create New Topic Screen).
- b. Clicks the New Topic button in the upper left corner of the screen to display the Create New Topic dialog box (see Figure 8-39 Discussions—Initial Create New Topic Screen).

Homicide Case 1234 Site

Site Dashboard | Wiki | Blog | Document Library | Calendar | Links | **Discussions** | Members

Create New Topic

Title:

Text:

B *I* U **ABC** [List Icons] Paragraph Font Family Font size [Color Picker]

Suspect might be the same.

Tags:

Choose from popular tags in this site

Figure 8-39 Discussions—Initial Create New Topic Screen

- c. Adds the following information (mandatory fields are marked with an asterisk):
 - i. **Title:** a descriptive name that describes the discussion topic.
 - ii. **Text:** information such as questions or comments on various topics related to the site.
 - iii. **Tags:** keywords that allow for easier searching of content.
- d. Clicks the Save button.

Upon returning to the Discussion sub-tab, the new Discussion Topic will be displayed under the New Topic area. Site members can Reply to the topic, or the topic can be edited and/or deleted as needed using the Edit and Delete function keys (see Figure 8-40 Discussions—New Topic Screen).

The Site Manager and/or the Collaborator can edit any discussion post or delete the topic.

Homicide Case 1234 Site

Site Dashboard | Wiki | Blog | Document Library | Calendar | Links | **Discussions** | Members

Same type of homicide occurred in San Mateo

Created on: Tue 13 Jul 2010 15:24:16 Author:

Replies: None

said:

Suspect might be the same.

Figure 8-40 Discussions—New Topic Screen

8.5 View Activities Within Your Site

The site dashboard now displays activities which have occurred on the site such as: the Wiki introduction, any additional calendar events, recent document modifications, site members added, and any overall site activities (see Figure 8-41 Collaboration—Site Dashboard Activities).

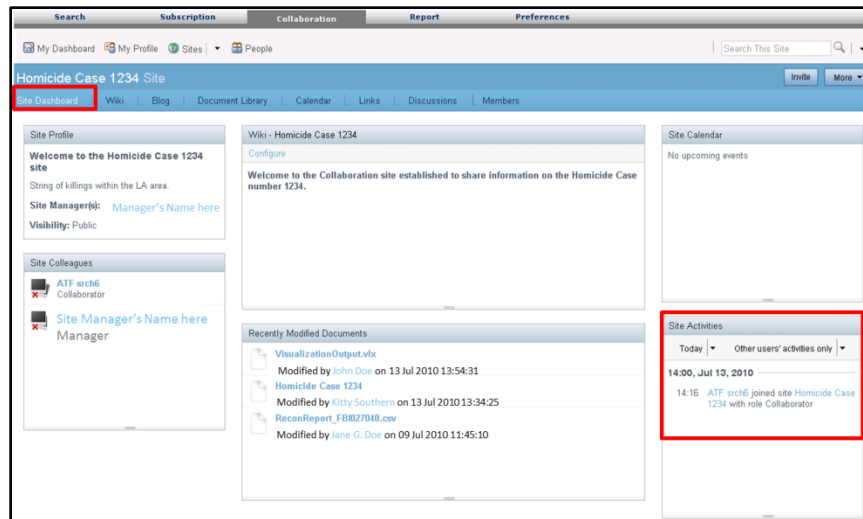


Figure 8-41 Collaboration—Site Dashboard Activities

The Recently Modified Documents area displays documents added or updated in the past seven days (see Figure 8-42 Collaboration—Recently Modified Documents). Users can click the Document Name link to display document contents for viewing.

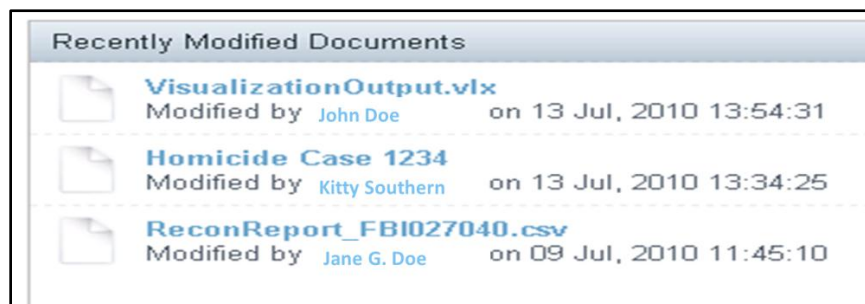


Figure 8-42 Collaboration—Recently Modified Documents

The Site Activities area displays the most recent activities that have been performed. To view activities of all site members, select the All activities view (see Figure 8-43 Collaboration—Site Activities). Clicking on any event on the Site Activities list displays its details for viewing.

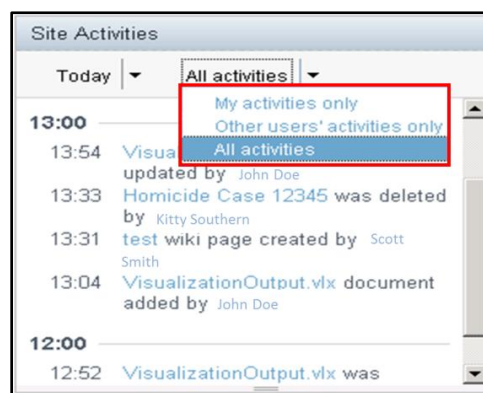


Figure 8-43 Collaboration—Site Activities

9 HELP

Within a user's agency, a resident expert may be available who serves as an N-DEx resource person. This individual may or may not be the CJIS Security Officer (CSO) or designee, an agency's designated N-DEx system trainer and/or an agency's N-DEx Training Administrator. Based on availability and expertise, this resource person within the agency should be able to answer user questions regarding the N-DEx system and guide users in successful system interaction. Users are encouraged to contact the CSO, his/her agency's resident N-DEx Trainer or User Administrators.

Additionally, the CJIS Help Desk provides support for N-DEx system users between the hours of 8 a.m. and 8 p.m. Eastern Time (ET). Inquiries made outside the stated hours are addressed the next business day. The CJIS Help Desk can be contacted at (304) 625-HELP (4357).

When calling the CJIS Help Desk with a request:

- Users must provide identification information (user's name, organization, and contact information) to the Help Desk staff. This required information enables the staff to authenticate the user and track all calls received.
- If the system issue involves an N-DEx search, every search of the system is identified by a Search ID Number (see Figure 9-1 Search Results—Search ID Number). The Search ID Number is a unique number assigned to each individual search which is displayed at the bottom of the search results page for portal users. CJIS Help Desk staff may ask for, and a user should provide, the Search ID Number to assist in troubleshooting search-related issues the user may be experiencing.
- The CJIS Help Desk logs each request as a ticket and routes the ticket to be handled accordingly.

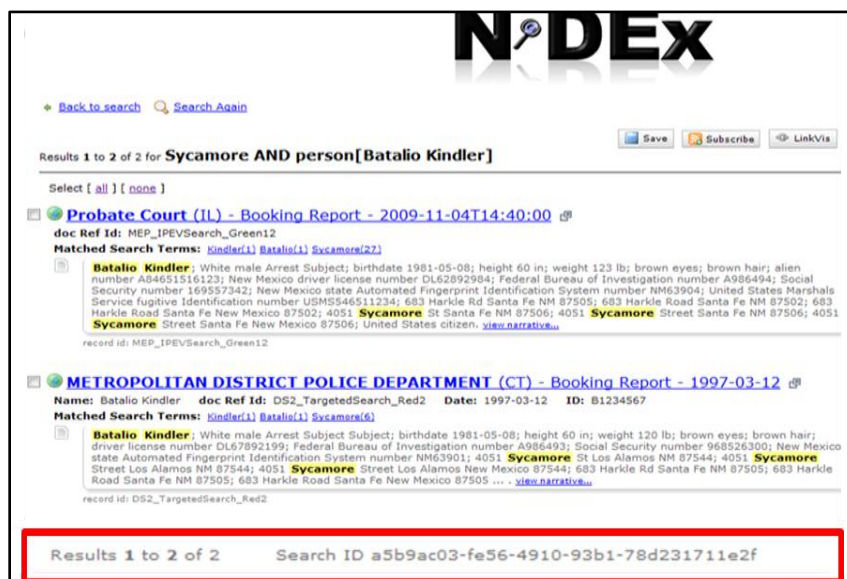


Figure 9-1 Search Results—Search ID Number

10ADMINISTRATIVE ROLES

An agency's/state's executive management must identify persons to serve in several key N-DEx system roles to administer sharing policies, manage user access, audit the usage/dissemination of agency data and records, configure automatic processing of notifications/alerts, manage N-DEx training, and administer an agency's NIBRS submission via the N-DEx system. N-DEx administrative roles are:

- a. **CSO Administrator** (CSO Admin): manages the N-DEx user, audit, and training functionality for their ORIs. The CSO Admin assigns the User Administrator (UA), Audit Administrator (AA), and Training Administrator (TA) roles. Only the CSO Admin can delegate his/her role to another(s) who become Delegated CSO Admin(s).
- b. **Delegated CSO Admin**: enables the user, audit, and training management functionality for assigned ORIs/agencies and can delegate these roles.
- c. **User Administrator** (UA): assigns and manages a user's N-DEx system roles and data sources, and disables or re-enables a user's system access. Also, the UA can delegate his/her user management role; a Delegated User Administrator (Delegated User Admin) performs all of the UA tasks but cannot delegate this role.
- d. **Audit Administrator** (AA): manages the auditors and/or performs audit functions (i.e., manage audit reports regarding user activity, search statistics, search criteria and viewed records for assigned users/agencies) and assigns the audit roles. Also, the AA can delegate his/her audit management role; a Delegated Audit Admin performs all of the AA tasks but cannot delegate this role.
- e. **Training Administrator** (TA): manages training within N-DEx, including generating training reports for assigned users/agencies and certificates. Also, the TA can delegate his/her training management role; a Delegated Training Administrator (Delegated Training Admin) performs all of the TA tasks but cannot delegate this role.
- f. **Source Data Administrator** (SDA): manages and monitors his/her agency's submission of data into N-DEx, and implements and manages N-DEx data sharing rules for any agency(ies) for which the SDA submits data.
- g. **Automated Processing Administrator** (AP Admin): manages his/her agency's N-DEx automated processing notifications.
- h. **NIBRS Administrator** (NA): monitors the transmission of NIBRS data via N-DEx to the FBI CJIS' Uniform Crime Reporting (UCR) system.

One person within the respective CJA may be assigned and serve in multiple N-DEx administrative roles.

10.1CSO Administrator

The N-DEx Program Office (PO) activates the CSO Admin role privileges, enabling access to system capabilities to manage users, audit, and training. CSOs can then perform these administrative duties, or delegate authority within their area of responsibility (as identified by ORI) to points of contact (or N-DEx Delegated CSOs) at the local, state, federal, and tribal agency levels. With the role, a CSO can perform administrative management of N-DEx users or leave such management to the Delegated CSO. However, the CSO always retains full control and management of their ORI(s) and has the ability to change or override any actions taken by the Delegated CSO.

To perform such tasks, the CSO Admin clicks the Management tab on the tool bar to display sub-tabs corresponding to the N-DEx management roles (see Figure 10-1 Management Tab—CSO Administrator). The CSO Admin (and/or Delegated CSO Admin) is provided system sub-tabs representing their management responsibilities.

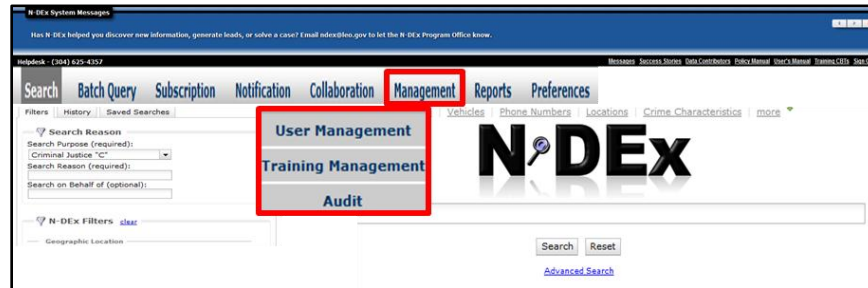


Figure 10-1 Management Tab—CSO Administrator

10.1.1 Find Users

CSO Admins will utilize the User Management sub-tab to modify a user's profile or assign a management role. For instance using the User Management sub-tab, the CSO Admin can designate N-DEx system auditors. Viewing or modifying users within N-DEx begins with the CSO Admin searching for a particular user. The administrator clicks the User Management sub-tab to display the Find Users screen (see Figure 10-2 User Management—Find Users).

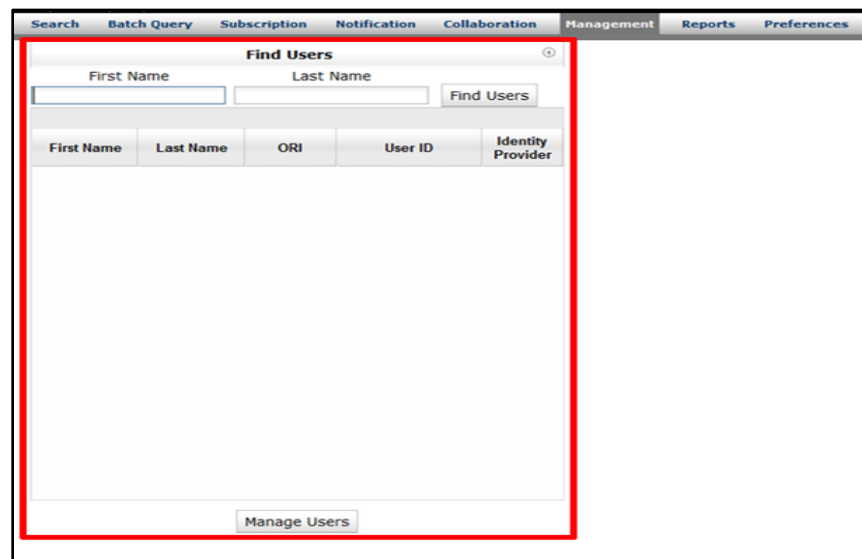


Figure 10-2 User Management—Find Users

After N-DEx displays the Find Users screen, the administrator enters a first name and/or a last name in the respective fields. An administrator can also search for users by entering a wildcard (*) in either field, which will return all users under the administrator's authority. However, administrators are cautioned to use a wildcard search only if they manage a small user base. Using the wildcard (*) to find and return all users when managing a large number of agencies or users can greatly impact system performance. To initiate the search, the administrator clicks the Find Users button.

If the administrator clicks the Arrow icon , N-DEx collapses the Find Users window which provides a larger main viewing window. The user can re-open the Find Users window by clicking the icon again without having to close out of the profile. This feature is especially helpful if the CSO Admin wishes to select multiple users at one time, or incorrectly selects a user.

The Find Users search tool is automatically populated with a user directory according to the administrator's agency(ies) ORI(s). The administrator can only view those system users he or she is authorized to manage based on the agency/department. Names appearing in the resulting search list are persons who have completed the application process to become system users AND accessed the N-DEx system at least one time (see Figure 10-3 Find Users Results). It is important for the CSO Admin to realize that users included on this list are both active and inactive users and it also includes users whose system access is enabled, as well as those whose access is disabled.



First Name	Last Name	ORI	User ID	Identity Provider
Basic	User	CA0070500	LEOUSER_2	LEO
Basic	User	CA0070600	LEOUSER_3	LEO
Basic	User	CA0070400	LEOUSER_1	LEO

Figure 10-3 Find Users Results

N-DEx returns the Find Users search results and displays system user information by First Name, Last Name, ORI, User ID, and Identify Provider. An administrator may navigate through the results listing using the numerical page selections or the arrow keys and can sort the results. The CSO Admin can click on the Field title, for instance First Name to sort the results.

From the results, an administrator selects a specific user(s) by clicking on that user's information to highlight it. In order to modify the selected user's (users') profile(s) or assign him/her a management role(s), the administrator then clicks the Manage Users button which displays the User Profile window (see Figure 10-4 User Profile Window). After the CSO Admin clicks the Manage Users button, N-DEx collapses the Find Users window.

Figure 10-4 User Profile Window

An administrator can select multiple user profiles from the same page by depressing and holding the control key, or simultaneously clicking the Shift key. Once the CSO Admin clicks the Manage Users button N-DEx displays all of the selected users' profiles. When the CSO Admin has multiple user profiles displayed, the arrow key can be used to minimize any profile and create more screen space (see Figure 10-5 User Profile Window—Multiple User Profiles Displayed). If the administrator clicks the downward facing arrow, the user's profile opens to display the profile information. To minimize the profile, the CSO Admin clicks the arrow again which changes it to a right facing arrow and closes the profile.

Figure 10-5 User Profile Window—Multiple User Profiles Displayed

The User Profile provides information about the selected user, including whether the user's access to N-DEx is enabled. The User Profile also provides what user role (Search), data source roles (DHS and/or USNCB), and/or agency management roles a user has been assigned within N-DEx.

10.1.2 Assign Agency Management Roles

On the User Profile in the Agency Management Roles area, an Agencies window is featured for each of the N-DEx Administrative roles. The CSO Admin assigns user management, training management, and audit functionality to users under his/her authority by clicking the Edit button beside the desired role's Agencies window (see Figure 10-4 User Profile Window). The CSO Admin can also delegate the CSO and/or User Administrator roles using this screen. N-DEx displays the Edit User Role window (see Figure 10-6 Edit User Role Window). CSOs can locate agencies by name or ORI by typing in the respective field and clicking either the Find by Name or Find by ORI button. N-DEx provides a listing of the agencies under the CSO's authority. The administrator can sort the results by clicking the Field title, for instance Agency ORI.

In either field, if the CSO enters a wildcard character (*), all agencies or all ORIs under the CSO's authority will be returned. However, administrators are cautioned to use a wildcard search only if they manage a small agency/user base. Using the wildcard (*) to find and return all agencies (when managing a large number of agencies or users) can impact system performance.

Edit User Role
Managing User Admin agencies for Basic User

Name Find By Name

ORI Find By ORI

Agency ORI	Agency Name
CA0001900	Bartholow Magical CA agency!
CA0010100	ALAMEDA PD
CA0011100	CA0011100
CA0014000	ALAMEDA COUNTY SHERIFF'S DEPARTMENT
CA0040000	BUTTE CO SO OROVILLE
CA0070000	CONTRA COSTA CO SO MARTINEZ
CA0070021	Danville
CA0070023	Orinda
CA0070057	Oakley
CA0070100	ANTIOCH PD
CA007013G	COUNTY PROBATION DEPARTMENT

Add > Add All > < Remove < Remove All

Managed Agencies
CA0070000
CA0070100
CA0070200
CA0070300
CA0070400
CA0070500
CA0070600

Update Cancel

Figure 10-6 Edit User Role Window

The CSO can scroll through the listing and select the agency(ies) to be assigned to the user for the selected administrative role by clicking on the Agency Name to highlight it. CSOs can select one or more agencies, and can select multiple agencies simultaneously by holding down the keyboard Ctrl key and clicking on multiple agency names to highlight them. Once all agencies to be assigned are selected, the CSO clicks either the Add or Add All button . The selected agency's(ies') ORI(s), when added, will appear in the Managed Agencies area of the window.

The CSO can remove one or more agencies from the Managed Agencies list by highlighting the ORI(s) and clicking either the Remove or Remove All buttons. If the CSO clicks the Cancel button on the Edit User Role window, the User Role ORI assignments will not be made and N-DEx returns the CSO to the User Profile Screen.

ORI(s) displayed in the Managed Agencies area will be the agency(ies) the administrator will manage. For instance, a CSO Admin can assign the Auditor role to a user by adding ORIs in the Agencies window (see Figure 10-7 User Profile Screen with Administrative Role ORI(s)). Once all agencies have been selected, the CSO must click the Update button which closes the window and returns the CSO to the User Profile screen.

Figure 10-7 User Profile Screen with Administrative Role ORI(s)

N-DEx displays the agency ORI(s) which were added in the Agencies list for the applicable administrator role. The CSO must save the administrative role assignment by clicking the Save button on the User Profile for the assignment(s) to be effective (see Figure 10-7 User Profile Screen with Administrative Role ORI(s)). If the CSO is editing multiple users, the Save all button should be clicked to ensure all the desired changes take effect for each/all users. N-DEx confirms the edits have been made with a Pop-up window and requires the CSO Admin to click the OK button (see Figure 10-8 Edit Confirmation).

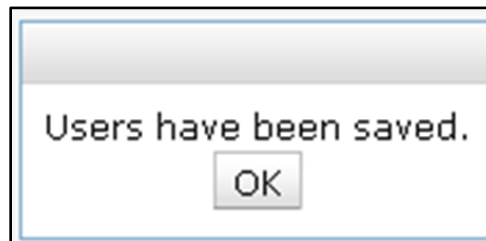


Figure 10-8 Edit Confirmation

The CSO Admin can close the User Profile screen by clicking the Close button; however, unless the CSO clicks the Save button, the edits to the Agency Management Roles will not take effect. N-DEx confirms the CSO Admin's intent to close the user's profile without saving changes via a Pop-up window and requires the CSO Admin to click the Yes button. If the administrator closes the User Profile screen, N-DEx returns to the Find User screen. Or, the CSO Admin can click the No button which leaves the profile open so additional edits can be made and/or saved (see Figure 10-9 Cancel Confirmation).

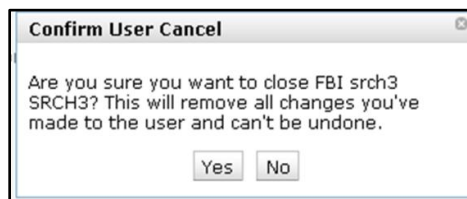


Figure 10-9 Cancel Confirmation

Beside each agency management role, N-DEx provides a Help icon . If a CSO Admin requires more information and definition of the system role, he/she can click this icon and view an explanation of the specific role.

10.1.3 Edit Agency Management Roles

On the User Profile in the Agency Management Roles area, an Agencies window is featured for each of the N-DEx administrative roles. For each administrative role a user has been assigned, the ORI(s) (which the manager has authority over) will be displayed in the corresponding Agencies window.

To make changes in a user's administrative role assignment(s) or to make changes in the agencies the manager administers, the CSO Admin finds the user and displays his/her profile; see detailed instructions in Section 10.1.1: Find Users. On the user's profile, the CSO Admin clicks the Edit button beside the administrative role which needs changed (see Figure 10-10 Edit User Role).

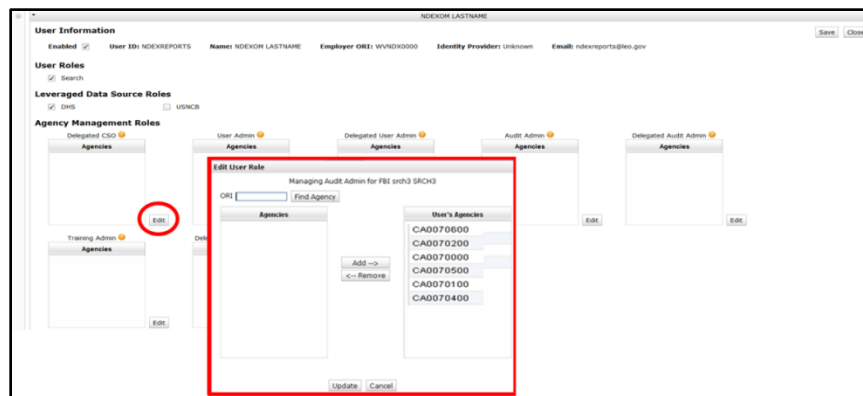


Figure 10-10 Edit User Role

N-DEx displays the Edit User Role window where the CSO Admin can add and/or remove ORI(s), following the same steps outlined in assigning agency management role(s); see detailed instructions in Section 10.1.2: Assign Agency Management Roles. If the CSO Admin needs to remove all of a user's administrative roles, he/she must highlight all ORI(s) from that role(s) and then click the Remove button. The CSO must click the Update button to return to the User Profile. On the user's profile, N-DEx displays the selected ORI(s) under the role (for instance, Audit Admin) being assigned to the user. The CSO Admin must click the Save or Save All button for the edits to be effective (see Figure 10-7 User Profile Screen with Administrative Role ORI(s)).

10.1.4 Disable or Re-Enable N-DEx System Access

Every user has his/her access to N-DEx enabled through the application process, once the CSO has vetted the user's identity provider (IDP) to connect to the system. The CSO Admin cannot grant N-DEx user access on the User Profile screen; however, enabled users can be disabled or re-enabled.

To make changes in a user's N-DEx system access (through the N-DEx portal and/or LEXS-SR), the CSO Admin finds the user and displays that user's profile; see detailed instructions in Section 10.1.1: Find Users. When a user has access to N-DEx, the Enabled box will be checked in the User Information area. A CSO disables a user's access to N-DEx by clicking on the check mark to deselect it. With the Enabled box no longer checked, the CSO Admin must click the Save or Save All button to save the changes and disable the user's access (see Figure 10-11 N-DEx System Access). N-DEx confirms the edits have been made with a Pop-up window and

requires the CSO Admin to click the OK button. After the CSO Admin saves the access change, N-DEx continues to display the user's profile. To close the profile and return to the Find Users screen, the CSO Admin must click the Close or Close All button.

Figure 10-11 N-DEx System Access

The N-DEx PO recommends the CSO Admin notify the user his/her system access has been disabled. Such notification can be sent to the user and should instruct him/her to contact the CSO for additional information.

If a user's N-DEx access has been previously disabled, the CSO will note the Enabled box is not checked on the user's profile. A CSO re-enables a user's access by clicking on the blank box to place a check mark in it. With the Enabled box re-checked, the CSO Admin must click the Save button to apply the changes and re-enable the user's access (see Figure 10-11 N-DEx System Access).

10.1.5 Enable or Disable a User's N-DEx User Roles

The CSO Admin can enable and/or disable any user's role(s) within N-DEx on the user's profile screen. To make changes in a user's system roles, the CSO Admin finds the user and displays that user's profile; see detailed instructions in Section 10.1.1: Find Users. The Search user role is available. When a user has access to search the N-DEx system, the box beside Search will be checked in the User Roles area (see Figure 10-12 Enable or Disable User Roles or Leveraged Data Source Access). Users automatically receive the Search role when provisioned to N-DEx from an IDP. The N-DEx system capabilities of Subscription, Notification, and Collaboration are also included in the Search role. However, a user can be assigned an N-DEx system administrative role and not be able to utilize other system functionality (i.e., Search).

To disable a user's Search role, a CSO Admin clicks on the check mark to deselect it. With the box no longer checked, the CSO Admin must click the Save button to apply the change and disable the user's access. N-DEx confirms the edit has been made with a Pop-up window and requires the CSO Admin to click the OK button.

10.1.6 Disable or Re-enable a User's N-DEx Leveraged Data Sources

N-DEx defaults access to both the DHS and USNCB (Interpol) leveraged data sources. Both the DHS and USNCB boxes are checked. The CSO Admin can disable and/or re-enable a user's data source roles on the user's profile screen. To make changes in a user's access to the leveraged data sources available in N-DEx, the CSO Admin finds the user and displays that user's profile; see detailed instructions in Section 10.1.1: Find Users.

In the Data Source Roles area, a CSO Admin can disable a user's access to N-DEx leveraged data source(s) by clicking on the check mark by the desired leveraged data source to deselect it. With the box(es) no longer checked, the CSO Admin must click the Save button to apply the changes and disable the user's access. N-DEx confirms the edits have been made with a Pop-up window and requires the CSO Admin to click the OK button (see Figure 10-12 Enable or Disable User Roles or Leveraged Data Source Access). After the CSO confirms the user's access to the leveraged data sources should be disabled. N-DEx continues to display an active user profile screen. The CSO can either close the user profile and receive a close Confirmation window or click the collapse the profile by clicking the arrow.

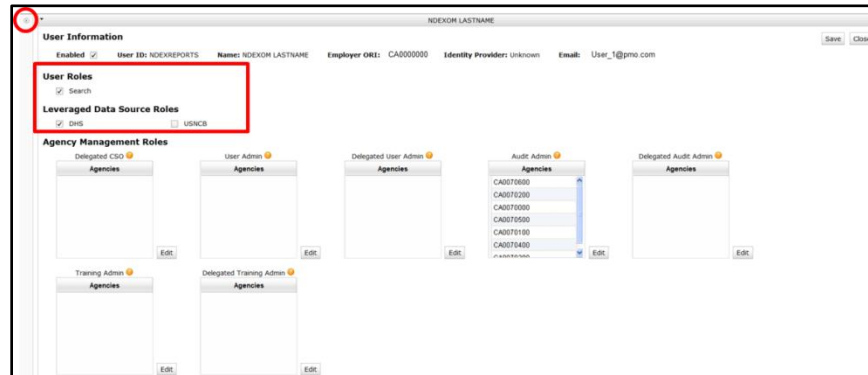


Figure 10-12 Enable or Disable User Roles or Leveraged Data Source Access

To re-enable a user's access to a leveraged data source(s) the CSO Admin clicks on the blank box beside the source name to place a check mark in it. With the box(es) selected, the CSO Admin must click the Save button to save the changes and enable the access. N-DEx confirms the edits have been made with a Pop-up window and requires the CSO Admin to click the OK button. With the data source(s) checked the user is permitted access to that data source(s) when searching N-DEx, if desired.

After the CSO Admin confirms the changes, the User Profile screen remains open and active. The administrator can either close the User Profile screen (and receive a Confirmation window) or can click the arrow on the left side of the screen (see Figure 10-12 Enable or Disable User Roles or Leveraged Data Source Access).

10.2 Delegated CSO Administrator

A CSO Admin can delegate authority within his/her area of responsibility (as identified by ORI) to points of contact at the local, state, federal, and tribal agency levels. A Delegated CSO has the same capabilities as the CSO Admin role and can perform management of three functions: Users, Audit, and Training for assigned agency ORI(s). Or, the Delegated CSO can further delegate management for these three functions to other individual(s) within the agency(ies). To delegate the role, the CSO Admin utilizes the User Management sub-tab. For detailed information on how to delegate this administrative role to another N-DEx user(s) and enable that/those individual(s) to have CSO administrative system functionality and tools to perform the role; see detailed instructions in Section: 10.3: User Administrator.

After an individual is assigned the Delegated CSO role, he/she will have the Management tab on the N-DEx tool bar and will use that tab to perform his/her administrative management tasks. The Delegated CSO can find users following the instructions in Section 10.1.1: Find Users. The

Delegated CSO can assign a user an agency management role; see detailed instructions in Section 10.1.2: Assign Agency Management Roles and can edit a user's roles; see detailed instructions in Section 10.1.3: Edit Agency Management Roles. Additionally, the Delegated CSO can enable or disable a user's N-DEX role(s) and/or leveraged data source access; see detailed instructions in Section 10.1.5: Enable or Disable a User's N-DEX User Roles and Section 10.1.6: Disable or Re-enable a User's N-DEX Leveraged Data Sources. Lastly, the Delegated CSO can disable or re-enable a user's N-DEX system access; see detailed instructions in Section 10.1.4: Disable or Re-Enable N-DEX System Access. The Delegated CSO cannot further delegate the CSO role.

10.3 User Administrator

After an individual is assigned the UA role, he/she will have the Management tab on the N-DEX tool bar and will use that tab to perform his/her N-DEX administrative management tasks. The tasks of the N-DEX UA are:

- a. Modify (disable and/or re-enable) N-DEX system access for the users he/she administers.
- b. Modify (enable and/or disable) N-DEX system roles for the users he/she administers.
- c. Assign the Delegated User Administrator role to a user(s) he/she administers.

10.3.1 User Admin Modify N-DEX System Access

An agency/state N-DEX UA cannot grant a user access to the N-DEX system. However, the UA can disable or re-enabled user access on that user's profile screen after searching for and selecting the user from the Find Users search results under the User Management sub-tab. The UA can search for and find the users he/she manages following the instructions in Section 10.1.1: Find Users. To disable a user's ability to access N-DEX, the UA must follow the instructions in Section 10.1.4: Disable or Re-Enable N-DEX System Access. Likewise, a UA can re-enable a user's disabled N-DEX access by following the instructions in the same Section.

10.3.2 User Admin Modify N-DEX System Roles

The UA can enable and/or disable a user's N-DEX system roles access on that user's profile screen after searching for and selecting the user from the Find Users search results under the User Management sub-tab. The UA can search for and find the users he/she manages following the instructions in Section 10.1.1: Find Users. To permit a user to have the Search role and/or the 508 role, the UA must follow the instructions in Section 10.1.5: Enable or Disable a User's N-DEX User Roles. Likewise, a UA can disable either role by following the instructions in the same Section; see detailed instructions in Section 10.1.6: Disable or Re-enable a User's N-DEX Leveraged Data Sources. However, the User Admin cannot enable or disable a user's leveraged data source(s) role(s). Only the CSO Admin and/or the Delegated CSO Admin can enable/disable the leveraged data source(s) access.

10.3.3 User Admin—Delegate UA Role

The User Administrator can delegate the user administration responsibilities to other individual(s) he/she manages. The UA delegates this role to another(s) utilizing the Delegated User Administrator window and following the instructions; see detailed instructions in Section 10.1.2: Assign Agency Management Roles.

After an individual is assigned the Delegated CSO role, he/she will have the Management tab on the N-DEx tool bar and will use that tab to perform his/her administrative management tasks. A Delegated User Administrator has the same capabilities as the UA role and can enable and/or disable an N-DEx role, and/or disable and/or re-enable N-DEx system access for the users he/she administers. A Delegated UA cannot, however, further delegate the UA role to others.

10.4 Audit Administrator

After an individual is assigned the Audit Administrator role, he/she will have the Management tab on the N-DEx tool bar and both an Audit and a User Management sub-tab. The AA will use those sub-tabs to perform his/her N-DEx administrative management tasks (see Figure 10-13 Management Tab—Audit Administrator). The tasks of the N-DEx AA are:

- Managing the audit roles for the users he/she administers.
- Managing audit reports for user activity, search statistics, search criteria, and viewed records) for assigned user(s) and agency(ies).
- Assigning the Delegated Audit Administrator role to a user(s) he/she administers.

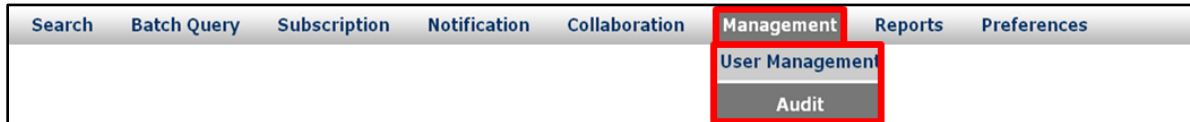


Figure 10-13 Management Tab—Audit Administrator

The AA clicks the Management tab and Audit sub-tab to display the Audit Management screen. On the screen are three major areas where the AA will carry out his audit management responsibilities: the My Auditable Agencies, the Audit Report Generation, and the Audit Reports (see Figure 10-14 Audit Management Screen). To open any of the areas on the screen, the AA must click the arrow.

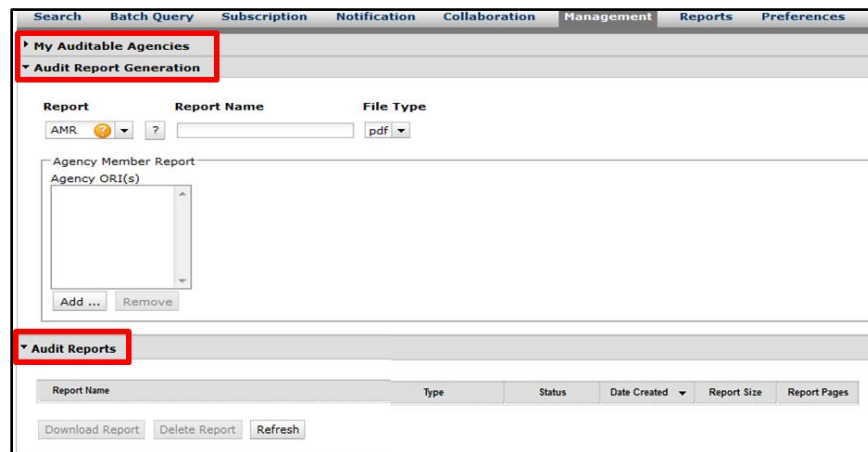


Figure 10-14 Audit Management Screen

In the My Auditable Agencies area, N-DEx displays the assigned agencies/ORIs the AA has audit authority over. The agencies on the list were assigned to the AA (at the time he/she was given the role) by the CSO Admin. If the AA believes any agency is missing from the list, he/she must contact the CSO (see Figure 10-15 My Auditable Agencies Roles).

Search Batch Query Subscription Notification Collaboration Management Reports Preferences	
▼ My Auditable Agencies	
Agency ORI	Agency Name
No filter applied	
WVNDX0000	CJIS DIVISION NDEX
WVNDX0001	West Virginia N-DEx
WVNDX0002	West Virginia N-DEx
WVNDXEDSA	Test PMO Prosecuting Attorney
WVNDXEDSB	Test PMO Pretrial
WVNDXEDSC	Test PMO Correction
WVNDXEDSE	Test PMO Railroad
WVNDXEDSG	Test PMO Probation
WVNDXEDSJ	Test PMO Courts
WVNDXEDSM	Test PMO Custodial Medical
WVNDXEDSN	Test PMO Regional Dispatch
WVNDXEDSO	Test PMO Law Enforcement
WVNDXEDSY	Test PMO Other Criminal Justice
WVNDXTR01	N-DEx Program Office - Training Agency

Figure 10-15 My Auditable Agencies Roles

If the list of agencies/ORIs is too complex, the AA can utilize the filter capability in the My Auditable Agencies area to locate a specific agency(ies). The list can be filtered to match any rules or all rules and in the Agency ORI column or the Agency Name column. To display the filter functionality, the AA clicks the Filter icon . N-DEx indicates the filter status, for instance No filter applied, beside the Filter icon so the AA will know at a glance whether a filter is in use (see Figure 10-16 Auditable Agencies Filter Icon).

Search Batch Query Subscription Notification Collaboration Management Reports Prefer	
▼ My Auditable Agencies	
Agency ORI	Agency Name
No filter applied	
WVNDX0000	CJIS DIVISION NDEX
WVNDX0001	West Virginia N-DEx
WVNDX0002	West Virginia N-DEx

Figure 10-16 Auditable Agencies Filter Icon

After the AA clicks the Filter icon, N-DEx displays a Filter window (see Figure 10-17 My Auditable Agencies Filters). Beside the Match field, the AA can click the down arrow to display the menu choices. The menu choices provide the AA the option to match all of the rules he/she has created or enforce any of the rules. The All Rules operates as an *And* regarding enforcing the rule criteria and the Any Rules operates as an *Or*. The AA can create a rule within the Rule area. The AA selects which column(s) the filters will be applied to (either Any column, Agency ORI column, or Agency Name column) by clicking the down arrow and making a selection from the menu. After the AA clicks on a menu item, the selection appears in the Column field. The AA then needs to specify a filter condition. When the AA clicks the down arrow, N-DEx displays the menu choices: contains, is, starts with, ends with, does not contain, is not, does not start with, does not end with, and is empty (see Figure 10-18 Condition Filter Menu). To make a selection, the AA clicks the condition which places it in the Condition window. The AA next types the filter criteria into the Value field to allow the Filter to search for the AA's desired Agency ORI or Agency Name (see Figure 10-17 My Auditable Agencies Filters). The criteria can be any combination of alphanumeric characters. To implement the selection and filter the auditable agencies list, the AA must click the Filter button.

The Audit Admin can create up to three rules. To create additional rules, the AA must select the Plus icon , which enables the rule creation process to be replicated. The AA clicks on the icon to add each additional rule.

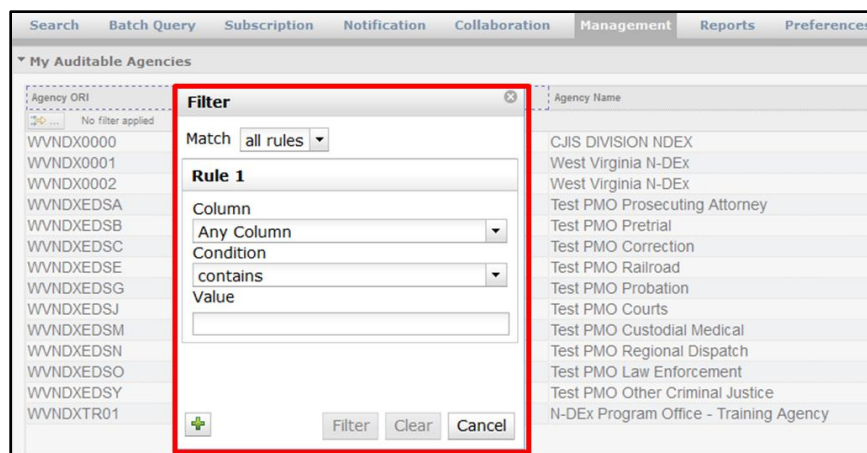


Figure 10-17 My Auditable Agencies Filters

To clear any filter selection from the Filter window and My Auditable Agencies area and show all available records, the AA clicks the Clear button. N-DEX will display warning that the filters will be removed. The Cancel button, removes any filter selections the AA has made without making them effective, and closes the Filter window.

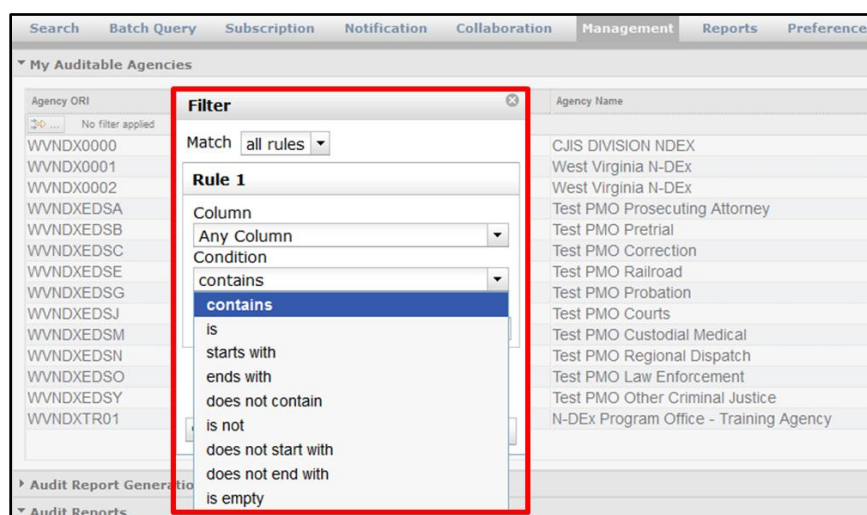


Figure 10-18 Condition Filter Menu

10.4.1 Audit Admin Manage Audit Reports

N-DEX provides eight types of audit reports to enable the AA to examine and account for an agency's (ies') consumer's(s') N-DEX system usage. Reports are broken down between user-based reports and record-based reports.

User-Based Reports:

- Agency Member Report (AMR):** Provides the account status of each user within an agency who has accessed N-DEX.
- Detailed Search Report (DSR):** Provides the searches each user within a selected agency has performed. For instance, the DSR can be utilized to identify the use code and search reason for searches.

- c. **Search Criteria Report (SCR):** Provides a list of users who have conducted a search based upon specific search criteria (e.g., *a specific name, NY Governor*, etc.).
- d. **State/ORI Search Summary Report (SSR):** Provides the total number of searches performed per user in a selected agency, state, or IDP.
- e. **User Activity Report (UAR):** Displays each action performed by either a single user, or by any user within a designated agency or IDP. For instance, the UAR can be utilized to identify the use code and search reason for searches.

Record-based Reports:

- a. **Cross Agency Record Report (CARR):** Shows what records from another agency(ies) a user(s) has viewed.
- b. **Unique Record Report (URR):** Shows which users have viewed a specific record during a given time range.
- c. **User Viewed Record Report (UVRR):** Shows what records within N-DEx a single user from your agency has viewed.

In the Audit Report Generation area, the AA can produce audit reports. The AA can request a specific report, name the requested report, and specify the report's format. Some reports require a time frame for the report to be specified.

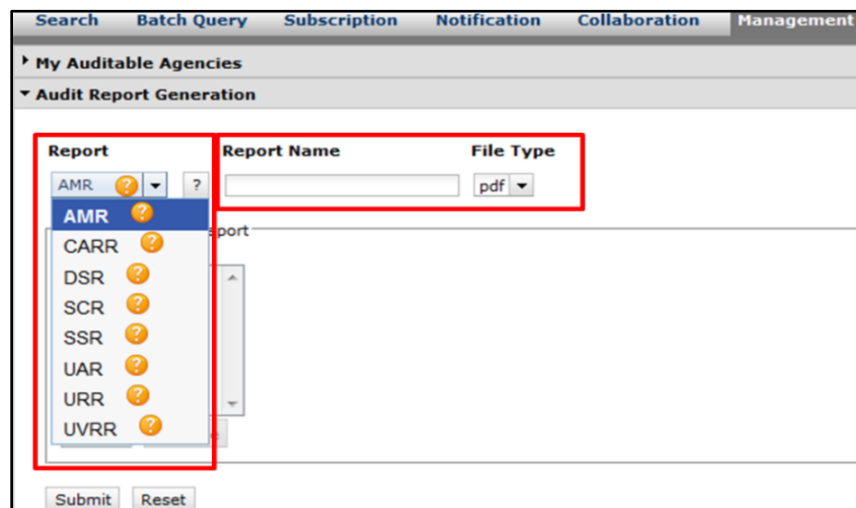


Figure 10-19 Report Menu Options

To open the Audit Report Generation area of the Audit screen, the AA clicks the arrow beside the Area title. In the Report area, the AA clicks the down arrow to display the Reports menu which lists each report by its acronym. To select any report, the AA clicks on its acronym. The AA can hover over any report Help icon to get a detailed description of the respective report (see Figure 10-20 Report Help Icon—Report Description).



Figure 10-20 Report Help Icon—Report Description

Another Help icon , beside the Report Selection window, provides a Report definition for the selected report (see Figure 10-19 Report Menu Options). After the user clicks this Help icon, the Report Definition window defaults to the Audit Report Description tab which provides an explanation of the selected report (see Figure 10-21 Report Help Icon—Audit Report Description Tab).

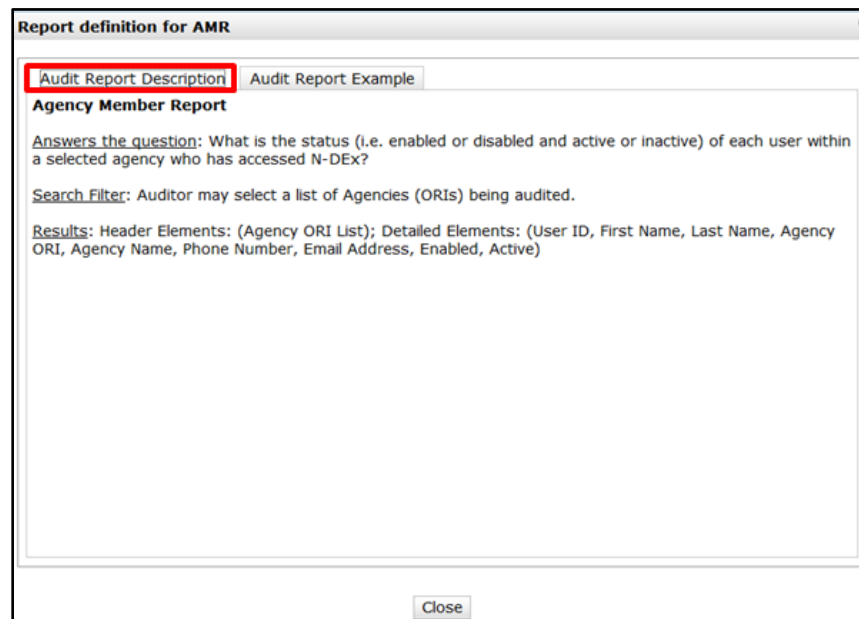


Figure 10-21 Report Help Icon—Audit Report Description Tab

When the user clicks the Audit Report Example tab, N-DEX provides an example of the selected report (see Figure 10-22 Report Help Icon—Audit Report Example Tab). Each example illustrates the specific report's format and the data it contains, and provides the AA with a view of what he/she can expect to receive after generating each report.

Report definition for AMR

Audit Report Description **Audit Report Example**

Agency Member Report 7/17/13 9:18 AM EC ^

Agency ORI List: [FBI027070, FBI027040, FBI027050, FBI029040, FBIAL0001, FBWMD000]

User ID	First Name	Last Name	Agency ORI	Agency Name	Phone Number	Email Address	Enabled	Active
LEOD3568	DR	3568	FBI027040	FBI Test Agency - An agency created for the purpose testing N-Dex			Enabled	Active
LEOT7777	Admin	Admin	FBI027040	FBI Test Agency - An agency created 301-788-4587 for the purpose testing N-Dex	301-788-4587	dataadmin@eo.gov	Enabled	Active
LEOT777777	Admin	Admin	FBI027040	FBI Test Agency - An agency created 301-788-4587 for the purpose testing N-Dex	301-788-4587	dataadmin@eo.gov	Enabled	Active
LEODATAADMIN	Data	Admin	FBI027040	FBI Test Agency - An agency created 123-456-6789 for the purpose testing N-Dex	123-456-6789	dataadmin1@eo.gov	Enabled	Active
LEOT19K329	Michael	Belo	FBI027040	FBI Test Agency - An agency created 123-456-6789 for the purpose testing N-Dex	123-456-6789	mikebello@eo.gov	Enabled	Inactive
FBI_BOB	FBI	BOB	FBI027040	FBI Test Agency - An agency created 123-456-6789 for the purpose testing N-Dex	123-456-6789	FBI_BOB1@eo.gov	Enabled	Active
LEODBRANDS	John	Brands	FBI027040	FBI Test Agency - An agency created 301-851-8300 for the purpose testing N-Dex	301-851-8300	jbrands@eo.gov	Enabled	Active
EABRANT	Edgar	Brant	FBI027040	FBI Test Agency - An agency created 7 for the purpose testing N-Dex		asad@asad.com	Enabled	Inactive
LEOT00003	Jackie	Butler	FBI027040	FBI Test Agency - An agency created 555-555-5432 for the purpose testing N-Dex	555-555-5432	jbutler@eo.gov	Enabled	Active
LEODACADILLAC	Alan	Cadillac	FBI027050	FBI Test Agency 50	301-851-8300	scadillac@eo.gov	Enabled	Active
WINNING3	Charlie	Charlie	FBI027040	FBI Test Agency - An agency created 123-456-6789 for the purpose testing N-Dex	123-456-6789	dojuserA@eo.gov	Enabled	Inactive
LEOT799001	Frank	Columbo	FBI027040	FBI Test Agency - An agency created for the purpose testing N-Dex			Enabled	Active
LEOD99001	Frank	Columbo	FBI027040	FBI Test Agency - An agency created for the purpose testing N-Dex			Enabled	Active

Close

Figure 10-22 Report Help Icon—Audit Report Example Tab

10.4.1.1 Agency Member Report

The Agency Member Report (AMR) provides the account status of each user who has accessed N-Dex from a selected agency:

- Enabled:** A user is able to access the N-Dex system.
- Disabled:** A user cannot access the N-Dex system.
- Active:** A user has accessed the N-Dex system within the last 90 days.
- Inactive:** A user has not accessed the N-Dex system within the last 90 days.

Auditors should be aware that any combination of the above account statuses is possible. The AMR does not require a date or date range.

The AMR report provides the users: name, phone number, e-mail address, and ID, and the user's agency's name and ORI. To request an AMR, the AA opens the Report menu and clicks on the AMR, which places the acronym in the Report Selection window. After choosing the AMR, the AA must name the report. The AA should create a name to uniquely identify each report and enter that name in the Report Name field (see Figure 10-23 Report Name and File Type). In the Report Name field only letters, numbers, spaces, and underscores can be used. If the AA enters a name in the Report field that duplicates a name of an existing report (shown in the Audit Reports area of the screen), upon submission N-Dex prompts the AA to change the current report request's name.

Figure 10-23 Report Name and File Type

Next, the AA specifies a file type for the report. The file type defaults to .pdf; however, the AA can click the down arrow beside the File Type window to display the menu of formats including: .pdf, .csv, or .xml. The AA clicks on the file type to display the selection in the File Type window (see Figure 10-23 Report Name and File Type). After selecting the file type, the AA must designate the agencies that will be included in the report. To make an agency(ies) selection, the AA clicks the Add button **Add ...**. N-DEx displays the Select Agency window (see Figure 10-24 Select Agency Window).

Figure 10-24 Select Agency Window

In the Select Agency window, the AA can search for an agency by entering the agency name in the Name field, then clicking the Find by Name button. Or, the AA can search for an agency by entering the agency ORI in the ORI field, then clicking the Find by ORI button. An administrator can also search for agencies by entering a wildcard (*) in either field, which will return all

agencies under the administrator's authority. For instance, an AA could enter a two letter state abbreviation and the asterisk in the ORI field and return all agencies in that state he/she has the authority to manage. However, administrators are cautioned to use a wildcard search only if they manage a small user base. Using the wildcard (*) to find and return all agencies (when managing a large number of agencies) can impact system performance. Results returned are based upon those agencies the AA has N-DEx administrative responsibility for and/or the agency ORI(s) which were added in the Agencies list for the applicable administrator role.

After the search for agencies has returned results, the AA selects the agency(ies) from the list by clicking on the selection to highlight it. Multiple selections can be made if the AA clicks on the first agency, holds down the Ctrl key, and clicks on additional agencies (see Figure 10-25 Select Agency(ies)). After all of the agencies to be included in the report are selected, the AA must click the OK button.

Agencies	Agency Name
IN031013N	HARRISON COUNTY EMERGENCY MANAGEMENT COMMUNICATIONS E 911
KY0490300	HARRISON COUNTY CONSTABLE DISTRICT
KY0490400	HARRISON COUNTY CONSTABLE DISTRICT
KY0490500	HARRISON COUNTY CONSTABLE DISTRICT
KY0490600	HARRISON COUNTY CONSTABLE DISTRICT
KY0490700	HARRISON COUNTY CONSTABLE DISTRICT
KY0490800	HARRISON COUNTY CONSTABLE DISTRICT
MS024015J	HARRISON COUNTY CIRCUIT COURT
WV0170000	Harrison County SO WV
WV017013C	HARRISON COUNTY DAY REPORT CENTER
WV017023G	HARRISON COUNTY PROBATION OFFICE
WV017023N	HARRISON COUNTY BUREAU OF EMERGENCY SERVICES 911 COMMUNICATIONS CENTER
WV017033N	HARRISON COUNTY BUREAU OF EMERGENCY SERVICES 911 COMMUNICATIONS CENTER
WV017043N	HARRISON COUNTY BUREAU OF EMERGENCY SERVICES 911

Figure 10-25 Select Agency(ies)

N-DEx closes the Select Agency window and returns the AA to the Audit screen. The selected agency(ies) will display in the Agency ORI(s) window (see Figure 10-26 Submit Report). Any agency can be removed from the Agency ORI(s) list (prior to report submission), if the AA clicks on the agency to highlight it. The AA can remove multiple agencies using the Ctrl key. Once one or more agencies are selected, N-DEx activates the Remove button. The AA must click the Remove button  to eliminate the ORI(s) from the list.

If the AA clicks the Reset button (prior to report submission), N-DEx will clear all fields of information and AA selections.

My Auditable Agencies

Audit Report Generation

Report: AMR Report Name: Sheriffs Users May 14 Report File Type: pdf

Agency Member Report

Agency ORI(s): WV0170000

Add Remove

Submit Reset

Audit Reports

Report Name	Type	Status	Date Created	Report Size	Report Pages
Sheriffs Users May 14 Report.pdf	AgencyMemberReport	Completed	05/02/2014	3794	2
Harrison County Sheriff April 2014.pdf	AgencyMemberReport	Completed	04/25/2014	3196	2
WVSP SSR 2014.pdf	SearchSummaryReport	Completed	04/25/2014	2799	2
Search Criteria Machine Report.pdf	SearchCriteriaReport	Failed	04/25/2014	0	0
Sheriffs Office CSR report 2013.pdf	DetailedSearchReport	Completed	04/25/2014	2811	2

Download Report Delete Report Refresh

Figure 10-26 Submit Report

To initiate the report request, the AA clicks the Submit button. If any required data is missing, N-DEx provides an error message. Larger reports (i.e., for a large agency or for several agencies) may take several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEx provides a message to remind the AA to click the Refresh button to reactivate the automatic refresh and update the report status. (This message is displayed beside the Refresh button when inactive.) There is no limit to the number of audit reports that are contained in the Audit Reports area. All reports are displayed on one page in this area. In the Audit Reports area of the screen, N-DEx displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates the report has generated and is available for viewing.

A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. In the Audit Reports area, the AA can highlight a failed report and click the Delete Report button to eliminate it. Once completed, N-DEx also provides the size of the report and the number of pages. To retrieve a completed report, the AA clicks on the report to highlight it and clicks the Download Report button. An action window displays where the AA must select to open the report or to save the file. The AA must click one of the Radio buttons to make his/her selection (see Figure 10-27 Open/View Report or Save File).

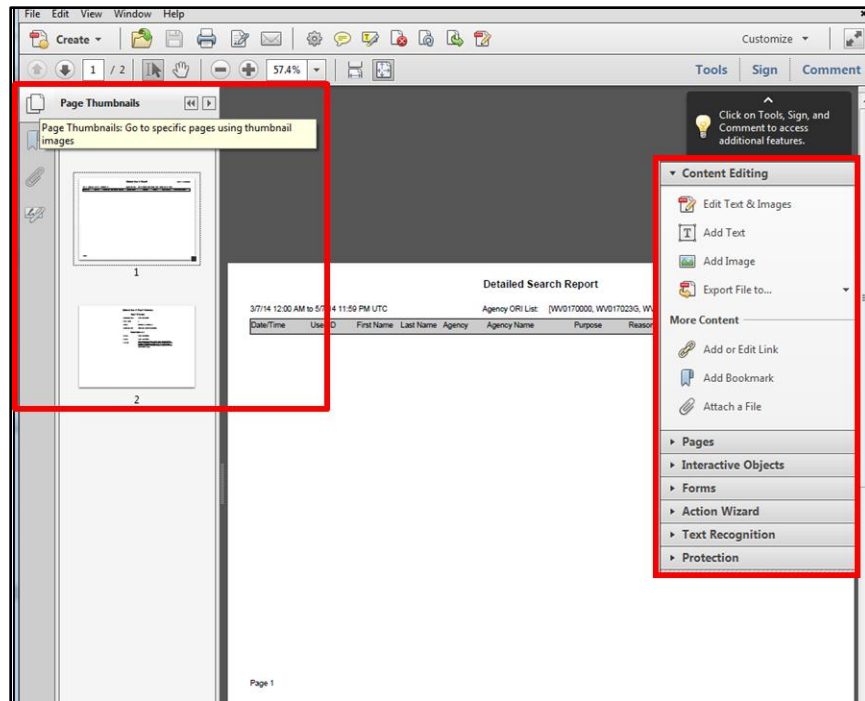


Figure 10-29 Report Tools

If saving the file, the AA clicks the Save File Radio button. The AA's documents Library window displays where he/she can enter a file name and select a File Save As type. The AA then clicks the Save button. If the AA clicks the Cancel button, all actions are invalidated.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEX does not automatically delete reports.

10.4.1.2 Detailed Search Report

The Detailed Search Report (DSR) provides an account of what Simple and Targeted searches were performed by each user from the selected agency(ies). To request a DSR, the AA opens the Report menu and clicks on the DSR, which places the acronym in the Report Selection window. After choosing the DSR, the AA must name the report. The AA should create a name to uniquely identify each report and enter that name in the Report Name field. In the Report Name field only letters, numbers, spaces, and underscores can be used. If the AA enters a name in the Report field that duplicates a name of an existing report (shown in the Audit Reports area of the screen), upon submission N-DEX prompts the AA to change the current report request's name.

Next, the AA specifies a file type for the report by clicking the down arrow beside the File Type window to display the menu of formats including: .pdf, .csv, or .xml. The AA clicks on the file type to display the selection in the File Type window (see Figure 10-19 Report Menu Options).

Figure 10-30 Detailed Search Report Generation

After selecting the DSR, naming the report, and specifying the report file type, the AA can specify a date range for the report. N-DEX defaults the From and To dates to the current date. If the user does not modify either the From and/or To dates, the resulting report will cover the defaulted date range (i.e., defaulted to the current date). However, the AA can click the down arrow to display a calendar and select a specific date(s)/date range(s) for the report (see Figure 10-30 Detailed Search Report Generation). The DSR report is limited to covering a three month date range. If a date range is selected greater than three months, upon submission of the report, N-DEX prompts the AA to change the selected dates. The AA may also specify a time range for the report. N-DEX defaults the From and To Time fields to 12:00 am and 11:59 am, respectively. If the user does not modify either the From and/or To time fields, the resulting report will cover the defaulted 24 hour time range. To specify a time range, the AA clicks the down arrows beside the Time fields to display a time line where a starting time and an ending time can be selected. N-DEX defaults the time zone to Coordinated Universal Time (UTC), the time standard by which the world regulates clocks and time. The AA can click the down arrow to display menu choices of ET (Eastern Time), CST (Central Standard Time), MST (Mountain Standard Time), PST (Pacific Standard Time), AKST (Alaska Standard Time), or HAST (Hawaii-Aleutian Standard Time), as desired.

The AA must select one or more agencies from those he/she was given N-DEX authority over to be the focus of the report. Using the Agency ORI(s) window and the Add button,  the AA can make agency selections. Detailed instructions for selecting an agency(ies) are provided in Section 10.4.1.1: Agency Member Report. If the AA clicks the Reset button (prior to report submission), N-DEX will clear all fields of information and AA selections.

To initiate the DSR request, the AA clicks the Submit button. If any required data is missing, N-DEX provides an error message. Larger reports (i.e., for a large agency or for several agencies) may take several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEX provides a message to

remind the AA to click the Refresh button to reactivate the automatic refresh and update the report status. (This message is displayed beside the Refresh button when inactive.)

There is no limit to the number of audit reports that are contained in the Audit Reports area. All reports are displayed on one page in this area. In the Audit Reports area of the screen, N-DEx displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates that the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates that the report has generated and is available for viewing.

A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. In the Audit Reports area, the AA can highlight a failed report and click the Delete Report button to eliminate it. Once completed, N-DEx also provides the size of the report and the number of pages. To retrieve the completed report, the AA clicks on the report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button (see Figure 10-27 Open/View Report or Save File). Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEx does not automatically delete reports.

The DSR provides information for each N-DEx search performed during the report date range/timeframe from the selected agency(ies) including: the date and time the search occurred, the user who initiated the search (by user ID and name), the user's agency ORI and name, the search purpose and reason, any data sources leveraged, and the search parameters (see Figure 10-31 Detailed Search Report).

Detailed Search Report									
6/30/13 12:00 AM to 7/17/13 11:59 PM UTC				Agency ORI List: [FBI027070, FBI027040, FBI027050, FBI027060, FBI029040, FBIAL0001, FBHWD000, FBICYD000]					
Date/Time	User ID	First Name	Last Name	Agency	Agency Name	Purpose	Reason	Data Sources	Search Parameters
7/17/13 5:42 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:41 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:40 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:40 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:31 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:31 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:29 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:28 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:15 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:14 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test
7/17/13 5:04 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Criminal Justice	test	N-DEx	test

Figure 10-31 Detailed Search Report

10.4.1.3 Search Criteria Report

The Search Criteria Report (SCR) provides information on every user who conducted an N-DEx search using the specified set of search criteria for the report. It is important to understand any

user's(s') search criteria must exactly match the specified set of search criteria requested in the report to be included on the SCR. For instance, if the AA requests an SCR on the search criteria *Assault AND Machete*, the SCR will include all searches performed using that exact search criteria. However, in this example, this SCR will not include any user searches performed utilizing the search criteria *Machete AND Assault* and so on.

To request an SCR, the AA opens the Report menu and clicks on the SCR, which places the acronym in the Report Selection window. After choosing the SCR, the AA must name the report. The AA should create a name to uniquely identify each report and enter that name in the Report Name field. In the Report Name field only letters, numbers, spaces, and underscores can be used. If the AA enters a name in the Report field that duplicates a name of an existing report (shown in the Audit Reports area of the screen), upon submission N-DEx prompts the AA to change the current report request's name.

Next, the AA specifies a file type for the report by clicking the down arrow beside the File Type window to display the menu of formats including: .pdf, .csv, or .xml. The AA clicks on the file type to display the selection in the File Type window (see Figure 10-19 Report Menu Options).

After selecting the SCR, naming the report, and specifying the report file type, the AA can specify a date range for the report. N-DEx defaults the From and To dates to the current date. If the user does not modify either the From and/or To dates, the resulting report will cover the defaulted date range (i.e., defaulted to the current date). However, the AA can click the down arrow to display a calendar and select a specific date(s)/date range(s) for the report (see Figure 10-32 Search Criteria Report Generation). The AA may also specify a time range for the report. N-DEx defaults the From and To Time fields to 12:00 am and 11:59 am, respectively. If the user does not modify either the From and/or To time fields, the resulting report will cover the defaulted 24 hour time range. To specify a time range, the AA clicks the down arrows beside the Time fields to display a time line where a starting time and an ending time can be selected. N-DEx defaults the time zone to UTC, the time standard by which the world regulates clocks and time. The AA can click the down arrow to display menu choices of ET, CST, MST, PST, AKST, or HAST as desired.

Figure 10-32 Search Criteria Report Generation

The SCR requires the AA to specify a search criteria set to be the focus of the report. The AA enters the criteria in the Search Criteria field. Report results will detail every system user who conducted a search using criteria that exactly matches the report's specified search criteria within the selected date/time range.

To initiate the SCR request, the AA clicks the Submit button. If any required data is missing, N-DEx provides an error message. Larger reports may take several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and

add Report Generation

Report

Report Name

File Type

From

To

OCR

?

Machete Assault Report 2014

pdf

1/1/2014

12:00 AM

3/31/2014

11:59 PM

UTC

Daylight Savings Time

Search Criteria Report

Search Criteria: Assault AND Machete

Submit

Reset

add Reports

Report Name	Type	Status	Date Created	Report Size	Report
Vehicle_Assault_Report_2014.pdf	SearchCriteriaReport	Completed	3/31/2014	7388	34
Search_Criteria_Report_2014.pdf	SearchCriteriaReport	Completed	3/31/2014	2390	2
Search_Vehicle_Theft_Report_2014.pdf	AgencyVehicleReport	Completed	3/31/2014	3754	2
Vehicle_Assault_Report_2014.pdf	AgencyVehicleReport	Completed	3/31/2014	3756	2
Vehicle_Assault_Report_2014.pdf	SearchCriteriaReport	Completed	3/31/2014	2758	2
Search_Vehicle_Theft_Report_2014.pdf	VehicleSearchReport	Completed	3/31/2014	2811	2

Download Report

Delete Report

Refresh

In the Audit Reports area, N-DEx displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates that the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates that the report has generated and is available for viewing.

A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. In the Audit Reports area, the AA can highlight a failed report and click the Delete Report button to eliminate it.

Once completed, N-DEx also provides the size of the report and the number of pages (see Figure 10-33 Retrieve Audit Report). To retrieve the completed report, the AA clicks on the report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button. Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEx does not automatically delete reports.

The SCR provides information for each N-DEx search performed during the report date range/timeframe matching the specified search criteria including: the date and time of each matching search, the user who performed the search (name and User ID), the user's agency (name and ORI), and the search parameters (search criteria and any search filters used) (see Figure 10-34 Search Criteria Report). The SCR information is that information provided by the system user when the search was conducted, including any filters the user applied to the search and/or what specific information was supplied when Targeted searching (i.e., DOB date range).

Date/Time	User ID	First Name	Last Name	Agency ORI	Agency Name	Search Parameters
7/17/13 3:00 AM	FBI_SFCH5	FBI	srch5	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault AND machete Report_Date between Sun Jun 30 2013 and Mon Mar 31 2014
7/16/13 9:07 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault AND machete Report_Date between Sun Jun 30 2013 and Mon Mar 31 2014
7/16/13 9:06 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault OR and OR machete Report_IncidentTime between Sat Mar 29 2014 and Sun Mar 30 2014
7/16/13 9:06 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault OR and OR machete Report_IncidentTime between Sat Mar 29 2014 and Sun Mar 30 2014
7/16/13 9:04 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault OR and OR machete Report_IncidentTime between Fri Mar 28 2014 and Sat Mar 29 2014
7/16/13 9:04 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault OR and OR machete Report_IncidentTime between Fri Mar 28 2014 and Sat Mar 29 2014
7/16/13 9:02 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault OR and OR machete Report_IncidentTime between Thu Mar 27 2014 and Fri Mar 28 2014
7/16/13 9:01 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault OR and OR machete Report_IncidentTime between Thu Mar 27 2014 and Fri Mar 28 2014
7/16/13 8:28 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault AND machete Report_Date between Fri Jun 28 2013 and Fri Mar 28 2014
7/16/13 8:08 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault AND machete Report_Date between Fri Jun 28 2013 and Fri Mar 28 2014
7/16/13 8:08 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault AND machete Report_Date between Fri Jun 28 2013 and Fri Mar 28 2014
7/16/13 6:46 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	assault AND machete Report_Date between Fri Jun 28 2013 and Fri Mar 28 2014

Figure 10-34 Search Criteria Report

10.4.1.4 State/ORI Summary Report

The State/ORI Summary Report (SSR) provides information on the total number of searches performed per user by identity provider, or in a selected agency and a selected state. To request a SSR, the AA opens the Report menu and clicks on the SSR, which places the acronym in the Report Selection window. After choosing the SSR, the AA must name the report. The AA should create a name to uniquely identify each report and enter that name in the Report Name field. In the Report Name field only letters, numbers, spaces, and underscores can be used. If the AA enters a name in the Report field that duplicates a name of an existing report (shown in the Audit Reports area of the screen), upon submission N-DEx prompts the AA to change the current report request's name.

Next, the AA specifies a file type for the report by clicking the down arrow beside the File Type window to display the menu of formats including: .pdf, .csv, or .xml. The AA clicks on the file type to display the selection in the File Type window (see Figure 10-19 Report Menu Options).

After selecting the SSR, naming the report, and specifying the report file type, the AA can specify a date range for the report. N-DEx defaults the From and To dates to the current date. If the user does not modify either the From and/or To dates, the resulting report will cover the defaulted date range (i.e., defaulted to the current date). However, the AA can click the down arrow to display a calendar and select a specific date(s)/date range(s) for the report (see Figure 10-32 Search Criteria Report Generation). The SSR report is limited to covering a three month date range. If a date range is selected greater than three months, upon submission of the report, N-DEx prompts the AA to change the selected dates. The AA may also specify a time range for the report. N-DEx defaults the From and To Time fields to 12:00 am and 11:59 am, respectively. If the user does not modify either the From and/or To time fields, the resulting report will cover the defaulted 24 hour time range. To specify a time range, the AA clicks the down arrows beside

the Time fields to display a time line where a starting time and an ending time can be selected. N-DEx defaults the time zone to UTC, the time standard by which the world regulates clocks and time. The AA can click the down arrow to display menu choices of ET, CST, MST, PST, AKST, or HAST, as desired.

N-DEx defaults an SSR request to By Identity Provider with its respective Radio button selected. However, an AA can request an SSR by agency(ies) ORI number(s) by clicking the respective Radio button (see Figure 10-35 State/ORI Search Summary Report By Identity Provider). To generate an SSR by identity provider, the AA clicks the arrow under By Identity Provider to display the list of current providers. From the list, the AA selects the desired provider whose users' N-DEx searches will be the focus of the report in the designated time frame. The AA can scroll through the list to find the identity provider. After the AA highlights the identity provider, the selection appears in the By Identity Provider window.

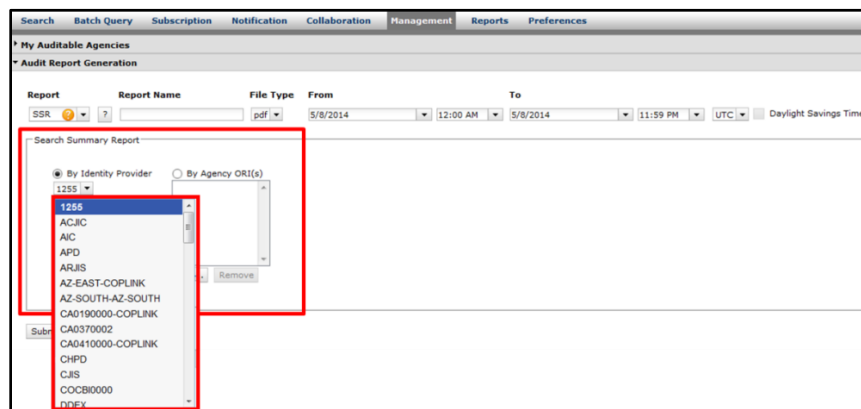


Figure 10-35 State/ORI Search Summary Report By Identity Provider

To generate an SSR by agency ORI(s), the AA clicks the Radio button beside By Agency ORI(s) to select this option. Then, the AA must click the Add button  to make agency ORI selection(s). From the list of ORIs, the AA selects the desired ORI(s) whose users' searches will be the focus of the report in the designated time frame.

To initiate an SSR request (either by IDP or agency ORI), the AA clicks the Submit button. If any required data is missing, N-DEx provides an error message. Larger reports may take several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEx provides a message to remind the AA to click the Refresh button to reactivate the automatic refresh and update report status. (This message is displayed beside the Refresh button when inactive [see Figure 10-36 State/ORI Summary Report Status]).

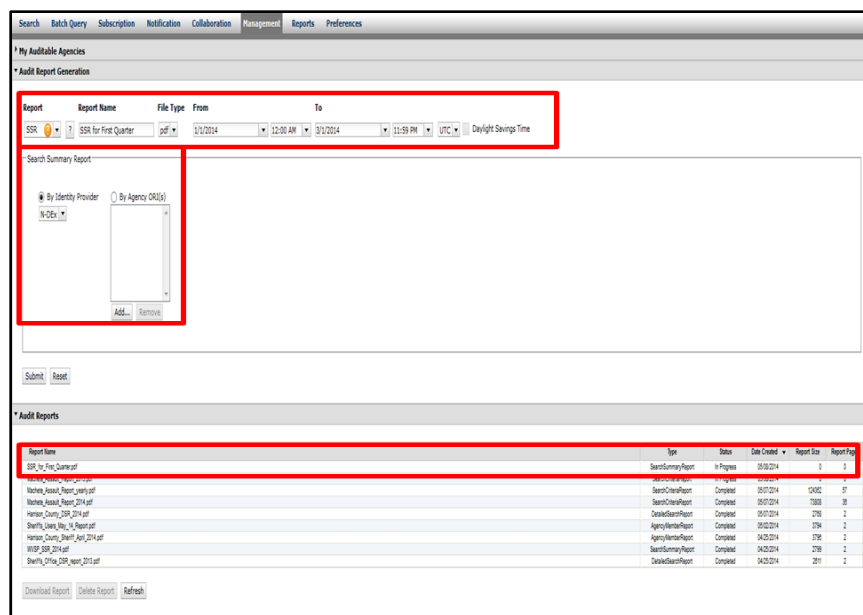


Figure 10-36 State/ORI Summary Report Status

In the Audit Reports area, N-DEx displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates that the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates that the report has generated and is available for viewing.

A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. In the Audit Reports area, the AA can highlight a failed report and click the Delete Report button to eliminate it.

Once completed, N-DEx also provides the size of the report and the number of pages (see Figure 10-36 State/ORI Summary Report Status). To retrieve the completed report, the AA clicks on the report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button. Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEx does not automatically delete reports.

The SSR provides a summary of the total number N-DEx searches performed during the reporting period and how many searches each user from the selected identity provider or agency(ies) has requested. Report columns include the: agency name or identity provider, the total number of search requests, each person's user name and the number of search requests each user has made (see Figure 10-37 State/ORI Summary Report).

SSR_for_First_Quarter.pdf - Adobe Acrobat Pro

File Edit View Window Help

Create 1 / 2 72.9% Tools Sign Comment

Search Summary Report 5/8/14 11:52 AM EDT

1/1/14 12:00 AM to 3/1/14 11:59 PM UTC Identity Provider: N-DEx

Agency Name	Search Requests	User Name	User Requests
FBI Test Agency - An agency created for the purpose testing N-DEx	1133	FBI_BOB (BOB, FBI)	5
		FBI_SRCH1 (Jones, Given Name)	206
		FBI_SRCH5 (FBI srch5, FBI srch5)	273
		LEOFBI_SRCH1 (tester, tommy)	506
		LEOFBI_SRCH100 (dallas_srch1, newname5)	24
		LEOFBI_SRCH2 (srch2, FBI)	108
		LEOFBI_SRCH5 (srch5, FBI)	11

Page 1

Figure 10-37 State/ORI Summary Report

10.4.1.5 User Activity Report

The User Activity Report (UAR) provides information on a single system user and what actions he/she has performed in N-DEx and/or what actions any N-DEx user(s) from the AA's agency(ies) have performed. For a UAR, the AA can select a single user (User ID), an identity provider, a list of agencies (ORI(s)), and specify which user actions should be included in the report.

To request a UAR, the AA opens the Report menu and clicks on the UAR, which places the acronym in the Report Selection window. After choosing the UAR, the AA must name the report. The AA should create a name to uniquely identify each report and enter that name in the Report Name field. In the Report Name field only letters, numbers, spaces, and underscores can be used. If the AA enters a name in the Report field that duplicates a name of an existing report (shown in the Audit Reports area of the screen), upon submission N-DEx prompts the AA to change the current report request's name.

Next, the AA specifies a file type for the report by clicking the down arrow beside the File Type window to display the menu of formats including: .pdf, .csv, or .xml. The AA clicks on the file type to display the selection in the File Type window (see Figure 10-19 Report Menu Options).

After selecting the UAR, naming the report, and specifying the report file type, the AA can specify a date range for the report. N-DEx defaults the From and To dates to the current date. If the user does not modify either the From and/or To dates, the resulting report will cover the defaulted date range (i.e., defaulted to the current date). However, the AA can click the down arrow to display a calendar and select a specific date(s)/date range(s) for the report (see Figure 10-32 Search Criteria Report Generation).

The AA may also specify a time range for the report. N-DEx defaults the From and To Time fields to 12:00 am and 11:59 am, respectively. If the user does not modify either the From and/or To time fields, the resulting report will cover the defaulted 24 hour time range. To specify a time range, the AA clicks the down arrows beside the Time fields to display a time line where a starting time and an ending time can be selected. N-DEx defaults the time zone to UTC, the time standard by which the world regulates clocks and time. The AA can click the down arrow to display menu choices of ET, CST, MST, PST, AKST, or HAST as desired.

The AA can request a UAR by user, by identity provider or by agency ORI(s), and must include at least one user activity for each report. N-DEx defaults a UAR request to By User. A UAR by user will provide a report of a single user's N-DEx system activities during the designated timeframe.

10.4.1.5.1 User Activity Report By User

To generate a UAR by user, the AA clicks the Find User... button under By User to display the Find and Select User window. The AA can search for a user by entering a first and last name in the respective fields and clicking the Find button. N-DEx returns a list of current users under the AA's audit authority (see Figure 10-38 User Activity Report By User) which matches the search criteria. From the list, the AA selects the desired user whose N-DEx searches will be the focus of the report in the designated time frame. The AA can scroll through the list to find the user, and select that user by clicking on the name to highlight it and then clicking the OK button. The selection appears in the By User field.

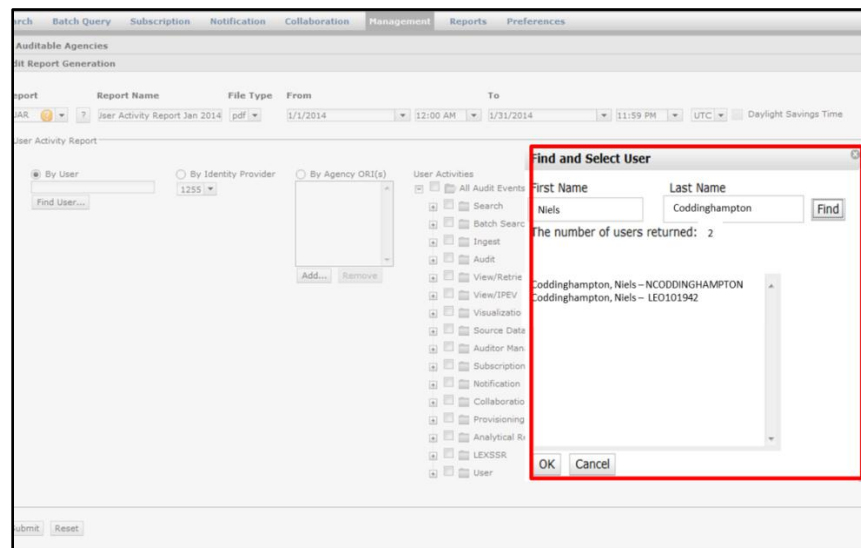


Figure 10-38 User Activity Report By User

For any report, the AA must select a minimum of one activity in the User Activities area. The AA makes selections by clicking to check the box(es). The AA can choose an activity level (i.e., Search, Batch Search, etc.) which selects all events comprising that activity or can open any activity in the User Activities list by clicking the Expand  button. The list item opens and the AA can select individual events for report content (see Figure 10-39 User Activities). The AA can click and check one or more activity events. Or, the AA can elect to have all auditable events featured in the report (i.e., the entire expanded activities list) by clicking the All Audit Events

box. After the AA selects the UAR, names the report, designates a date range, finds and selects a user, and chooses activities to be featured in the report, he/she can submit the report request. To initiate a UAR request, the AA clicks the Submit button.

Figure 10-39 User Activities

If any required data is missing, N-DEx will provide an error message. Larger reports may take several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEx provides a message to remind the AA to click the Refresh button to reactivate the automatic refresh and update report status. (This message is displayed beside the Refresh button when inactive.)

There is no limit to the number of audit reports that are contained in the Audit Reports area. All reports are displayed on one page in this area. In the Audit Reports area, N-DEx displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates the report has generated and is available for viewing.

A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. In the Audit Reports area, the AA can highlight a failed report and click the Delete Report button to eliminate it.

Once completed, N-DEx also provides the size of the report and the number of pages. To retrieve the report, the AA clicks on the completed report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button. Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEx does not automatically delete reports.

User_Activity_Report_Jan_2014.pdf - Adobe Acrobat Pro

File Edit View Window Help

Create

Customize

Tools Sign Comment

1 / 2

72.9%

User Activity Report

5/15/14 9:55 AM EDT

User ID: CJIScoddingtonNiels21 (Niels Coddington)

1/1/14 12:00 AM to 5/14/14 11:59 PM UTC

Date/Time	User ID	First Name	Last Name	Agency ORI	Agency Name	Event Type	Event Message
4/11/14 1:53 PM	CJIScoddington Niels	Williams	WVNDXEDSN	Test PMO Regional Dispatch	User Login	Status - SUCCESS Broker - CJIS Event Type ID - 18000 User ORI - WVNDXEDSN User Name - CJISKEWILLIAMS4 User ID - CJISKEWILLIAMS4	
2/7/14 1:40 PM	CJIScoddington Niels	Williams	WVNDXEDSN	Test PMO Regional Dispatch	User Login	Status - SUCCESS Broker - CJIS Event Type ID - 18000 User ORI - WVNDXEDSN User Name - CJISKEWILLIAMS4 User ID - CJISKEWILLIAMS4	
1/9/14 11:47 AM	CJIScoddington Niels	Williams	WVNDXEDSN	Test PMO Regional Dispatch	Document Summary Results	Status - SUCCESS Event Type ID - 2020 User ORI - WVNDXEDSN User Name - CJISKEWILLIAMS4	
1/9/14 11:47 AM	CJIScoddington Niels	Williams	WVNDXEDSN	Test PMO Regional Dispatch	Targeted Search Request	Status - SUCCESS Search Reason - Criminal Justice "C" PMO Testing System ID(s) - [N-DEx, Initiate] Source - N-DEx, Initiate Search Criteria - Person Search - Person Name, First- Rogelio Person Name, Last - Alvarez Person DOB between Tue Jan 11 00:00:00 EST 1977 and Tue Jan 11 00:00:00 EST 1977 Event Type ID - 2010 Origination - PORTAL User ORI - WVNDXEDSN User Name - CJISKEWILLIAMS4 Type of Search - Targeted	
1/9/14 11:47 AM	CJIScoddington Niels	Williams	WVNDXEDSN	Test PMO Regional Dispatch	User Login	Status - SUCCESS Broker - CJIS Event Type ID - 18000 User ORI - WVNDXEDSN User Name - CJISKEWILLIAMS4 User ID - CJISKEWILLIAMS4	

Page 1

Figure 10-40 User Activity Report By User

The UAR By User provides a history of all the selected individual's actions performed within the N-DEx system during the specified reporting period. Report columns include the: Date/Time (the action was taken), User ID, First Name, Last Name, Agency ORI, Agency Name, Event Type, and Event Message (see Figure 10-40 User Activity Report By User).

10.4.1.5.2 User Activity Report By Identity Provider

The UAR by identity provider will provide a report of any N-DEx user's system activities during the designated timeframe by the selected IDP. To generate a UAR by IDP, the AA clicks on the Radio button beside By Identity Provider. Next, the AA clicks the down arrow to display the list of current IDPs. From the list, the AA selects the desired IDP whose users' searches will be the focus of the report in the designated time frame. The AA can scroll through the list to find the provider. After the AA highlights the provider, the selection appears in the By Identity Provider window (see Figure 10-41 UAR By Identity Provider).

The screenshot displays the 'User Activity Report' (UAR) configuration window. At the top, there are tabs for Search, Batch Query, Subscription, Notification, Collaboration, Management, Reports, and Preferences. The 'Reports' tab is active. Below the tabs, there are fields for Report Name (UAR NDEX 2014), File Type (pdf), From (1/1/2014), To (5/15/2014), and Time (12:00 AM to 11:59 PM). The 'By Identity Provider' radio button is selected, and a dropdown menu is open showing a list of identity providers. The list includes '1285', 'ACJIC', 'AIC', 'APD', 'ARJIS', 'AZ-EAST-COPLINK', 'AZ-SOUTH-AZ-SOUTH', 'CA0190000-COPLINK', 'CA0370002', 'CA0410000-COPLINK', 'CHPD', 'CJIS', 'COCBI0000', and 'NDEX'. The 'NDEX' option is highlighted at the bottom of the list. To the right of the dropdown, there is a 'User Activities' section with a list of activities and checkboxes. The 'All Audit Events' checkbox is checked. Other activities listed include Search, Batch Search, Ingest, Audit, View/Retrieve, View/PEV, Visualization, Source Data Administration, Auditor Management, Subscription, Notification, Collaboration, Provisioning, Analytical Report, LEXSSR, and User. At the bottom of the window, there are 'Submit' and 'Reset' buttons.

Figure 10-41 UAR By Identity Provider Menu

For any report, the AA must select a minimum of one activity in the User Activities area. The AA makes selections by clicking to check the box(es). The AA can choose an activity level (i.e., Search, Batch Search, etc.) which selects all events comprising that activity or can open any activity in the User Activities list by clicking the Expand  button. The list item opens and the AA can select individual events for report content (see Figure 10-39 User Activities). The AA can click and check one or more activity events. Or, the AA can elect to have all auditable events featured in the report (i.e., the entire expanded activities list) by clicking the All Audit Events box. After the AA selects the UAR, names the report, designates a date range, finds and selects an IDP, and chooses activities to be featured in the report, he/she can submit the report request. To initiate a UAR request, the AA clicks the Submit button (see Figure 10-41 UAR By Identity Provider Menu).

If any required data is missing, N-DEX provides an error message. Larger reports may take several minutes to complete.

The screenshot displays the 'Audit Report Generation' interface. At the top, there are tabs for Search, Batch Query, Subscription, Notification, Collaboration, Management, Reports, and Preferences. The 'Reports' tab is active. Below the tabs, there is a section for 'My Auditable Agencies' and 'Audit Report Generation'. The 'Report' section includes fields for Report Name (UAR), File Type (pdf), From (1/1/2014), and To (5/15/2014). The 'User Activity Report' section has radio buttons for 'By User', 'By Identity Provider', and 'By Agency OR(s)'. The 'By Identity Provider' option is selected, and a list of user activities is displayed. At the bottom, there is a table of 'Audit Reports' with columns for Report Name, Type, Status, Date Created, Report Size, and Report Pages. The 'Download Report' button is highlighted.

Figure 10-42 Submitted User Activity Report By Identity Provider

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEX provides a message to remind the AA to click the Refresh button to reactivate the automatic refresh and update report status.

There is no limit to the number of audit reports that are contained in the Audit Reports area. All reports are displayed on one page in this area. In the Audit Reports area, N-DEX displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates the report has generated and is available for viewing.

A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. In the Audit Reports area, the AA can highlight a failed report and click the Delete Report button to eliminate it.

Once completed, N-DEX also provides the size of the report and the number of pages (see Figure 10-42 Submitted User Activity Report By Identity Provider). To retrieve the report, the AA clicks on the completed report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button. Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEX does not automatically delete reports.

The UAR by Identity Provider provides a history of any of the Identity Provider's N-DEx users' system actions performed during the specified reporting period. Report columns include the: Date/Time (the action was taken), User ID, First Name, Last Name, Agency ORI, Agency Name, Event Type, and Event Message (see Figure 10-43 User Activity Report By Identity Provider).

Date/Time	User ID	First Name	Last Name	Agency ORI	Agency Name	Event Type	Event Message
1/1/14 12:00 AM to 5/15/14 11:59 PM UTC	LEOFBI_SRCH1	bmmy	testar	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Document Summary Results	Status - SUCCESS Event Type ID - 3020 User ORI - FBI027040 User Name - LEOFBI_SRCH1
1/7/14 3:29 PM	LEOFBI_SRCH1	bmmy	testar	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	View Retrieve Record	Status - SUCCESS Event Type ID - 3020 User ORI - FBI027040 User Name - LEOFBI_SRCH1
1/12/14 2:29 PM	LEOFBI_SRCH1	bmmy	testar	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	User Login	Status - SUCCESS Broker - N-DEx Event Type ID - 3020 User ORI - FBI027040 User Name - LEOFBI_SRCH1 User ID - LEOFBI_SRCH1
1/21/14 9:29 AM	FBI_SRCH5	FBI srch5	FBI srch5	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Targeted Search	Status - SUCCESS Search Reason - C test System ID(s) [N-DEx N-DEx] Sources - N-DEx N-DEx Search Criteria - Person Search Person Name_First - Person Person Name_Last - ramos Person Search Event Type ID - 3020 Organization - LEXSSR User ORI - FBI027040 User Name - LEOFBI_SRCH1 Type of Search - Targeted

Figure 10-43 User Activity Report By Identity Provider

10.4.1.5.3 User Activity Report by Agency

A UAR by agency(ies) will provide a report of any of that agency's(ies') N-DEx user activities during the designated timeframe. To generate a UAR by Agency (ORI), the AA clicks on the Radio button beside By Agency ORI(s). Next, the AA selects one or more agencies from those he/she was given N-DEx authority over to be the focus of the report by using the Add button (see Figure 10-44 User Activity Report By Agency (ORI) Select Agency). Detailed instructions for selecting and adding an agency(ies) are provided in Section 10.4.1.1: Agency Member Report. Selected agencies will display in the By Agency ORI(s) window and users from that/those agency(ies) will be the focus of the report.

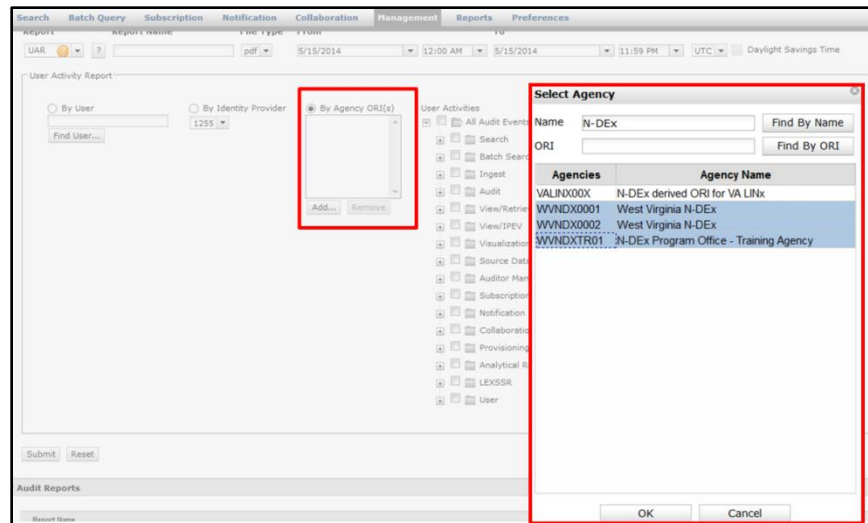


Figure 10-44 User Activity Report By Agency (ORI) Select Agency

The AA must select a minimum of one activity in the User Activities area. The AA makes selections by clicking to check the box(es). The AA can choose an activity level (i.e., Search, Batch Search, etc.) which selects all events comprising that activity or can open any activity in the User Activities list by clicking the Expand  button. The list item opens and the AA can select individual events for report content (see Figure 10-39 User Activities). The AA can click and check one or more activity events. Or, the AA can elect to have all auditable events featured in the report (i.e., the entire expanded activities list) by clicking the All Audit Events box. After the AA selects the UAR, names the report, designates a date range, finds and selects a user, and chooses activities to be featured in the report, he/she can submit the report request. To initiate a UAR request, the AA clicks the Submit button.

If any required data is missing, N-DEx provides an error message. Larger reports may take several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen (see Figure 10-45 Submitted User Activity Report By Agency (ORI)). If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEx provides a message to remind the AA to click the Refresh button to reactivate the automatic refresh and update report status. (This message is displayed beside the Refresh button when inactive.)

Report Name	Type	Status	Date Created	Report Size	Report Pages
WVNDX0001_UAR.pdf	User Activity Report	In Progress	5/17/2014	1	1
WVNDX0002_UAR.pdf	User Activity Report	Completed	5/17/2014	423	2
WVNDXTR01_UAR.pdf	User Activity Report	Completed	5/17/2014	87740	540

Figure 10-45 Submitted User Activity Report By Agency (ORI)

There is no limit to the number of audit reports that are contained in the Audit Reports area. All reports are displayed on one page in this area. In the Audit Reports area, N-DEx displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates the report has generated and is available for viewing. A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. Once completed, N-DEx also provides the size of the report and the number of pages.

To retrieve the report, the AA clicks on the completed report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button. Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEx does not automatically delete reports.

The UAR by Agency (ORI) provides a history of each N-DEx system action performed by any user(s) within the designated Agency's(ies) during the specified reporting period. Report columns include the: Date/Time (the action was taken), User ID, First Name, Last Name, Agency ORI, Agency Name, Event Type, and Event Message (see Figure 10-46 User Activity Report By Agency (ORI)).

Date/Time	User ID	First Name	Last Name	Agency ORI	Agency Name	Event Type	Event Message
7/17/13 2:28 PM	LEOFBI_SRCH1	bmmy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Delete Report	Status - SUCCESS Report Names - UAR_Agency.pdf Event Type ID - 3020 User ORI - FBI027040 User Name - LEOFB1_SRCH1
7/17/13 2:28 PM	LEOFBI_SRCH1	bmmy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Delete Report	Status - SUCCESS Report Names - UAR_Agency.pdf Event Type ID - 3020 User ORI - FBI027040 User Name - LEOFB1_SRCH1
7/17/13 2:24 PM	LEOFBI_SRCH1	bmmy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Update User	Status - SUCCESS Broker - Unknown Event Type ID - 11070 User ORI - FBI027040 User Name - LEOFB1_SRCH1 Roles - USNCB Search CSO, System Admin, JCEPIC User ID - LEOFB1_SRCH1
7/17/13 2:17 PM	FBI_SRCH5	FBI srch5	FBI srch5	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx	Update User	Status - SUCCESS Broker - Unknown Event Type ID - 11070 User ORI - FBI027040 User Name - FBI_SRCH5 Roles - User Admin, System Admin, AP

Figure 10-46 User Activity Report By Agency (ORI)

10.4.1.6 Cross Agency Record Report

The Cross Agency Record Report (CARR) details what records a user from the Auditor's agency(ies) has viewed from another N-DEx contributing agency. The Auditor can select one or more user agency ORI(s) from those agency(ies) he/she has audit responsibility over and one or more record owner agency ORI(s) to be included in the report.

To request a CARR, the AA opens the Audit Report menu and clicks on the CARR, which places the acronym in the Report Selection window. After choosing the CARR, the AA must name the report. The AA should create a name to uniquely identify each report and enter that name in the Report Name field (see Figure 10-47 Cross Agency Record Report Generation). In the Report Name field only letters, numbers, spaces, and underscores can be used. If the AA enters a name in the Report field that duplicates a name of an existing report (shown in the Audit Reports area of the screen), upon submission N-DEx prompts the AA to change the current report request's name.

Figure 10-47 Cross Agency Record Report Generation

Next, the AA specifies a file type for the report by clicking the down arrow beside the File Type window to display the menu of formats including: .pdf, .csv, or .xml. The AA clicks on the file type to display the selection in the File Type window (see Figure 10-19 Report Menu Options).

After selecting the CARR, naming the report, and specifying the report file type, the AA can specify a date range for the report. N-DEX defaults the From and To dates to the current date. If the user does not modify either the From and/or To dates, the resulting report will cover the defaulted date range (i.e., defaulted to the current date). However, the AA can click the down arrow to display a calendar and select a specific date(s)/date range(s) for the report (see Figure 10-32 Search Criteria Report Generation).

The AA may also specify a time range for the report. N-DEX defaults the From and To Time fields to 12:00 am and 11:59 am, respectively. If the user does not modify either the From and/or To time fields, the resulting report will cover the defaulted 24 hour time range. To specify a time range, the AA clicks the down arrows beside the Time fields to display a time line where a starting time and an ending time can be selected. N-DEX defaults the time zone to UTC, the time standard by which the world regulates clocks and time. The AA can click the down arrow to display menu choices of ET, CST, MST, PST, AKST, or HAST as desired.

Next, the AA must specify the user agency ORI(s) that will be included in the report. This selection represents all users from the agency(ies) who have viewed records from another record owning agency. The AA must also specify the record owning agency(ies) for the report. To make user agency(ies) and record owning agency(ies) ORI(s) selections, the AA clicks the Add button  located below the respective window. N-DEX displays the Select Agency window. Detailed instructions for finding and selecting agencies are provided in Section 10.4.1.1: Agency Member Report.

To initiate the report request, the AA clicks the Submit button. If any required data is missing, N-DEX provides an error message. Larger reports (i.e., for a large agency or for several agencies) make several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEX provides a message to

remind the AA to click the Refresh button to reactivate the automatic refresh and update the report status. (This message is displayed beside the Refresh button when inactive.)

There is no limit to the number of audit reports that are contained in the Audit Reports area. All reports are displayed on one page in this area. In the Audit Reports area of the screen, N-DEx displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates that the report has generated and is available for viewing.

A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. In the Audit Reports area, the AA can highlight a failed report and click the Delete Report button to eliminate it.

Report Name	Type	Status	Date Created	Report Size	Report Pages
NDEx_TH_Cross_Agency_Report.pdf	CrossAgencyRecordReport	Completed	05/03/2014	2750	2
WV_NDEx_UAR.pdf	UserActivityReport	Completed	05/20/2014	232558718	143187
NDIDESH_UAR.pdf	UserActivityReport	Completed	05/15/2014	4225	2
NDI0001_UAR.pdf	UserActivityReport	Completed	05/15/2014	8777400	5481
UAR_Williams.pdf	UserActivityReport	Completed	05/15/2014	228588	139
NDI0005_UAR.pdf	UserActivityReport	Completed	05/15/2014	48742183	31819
UAR_NDEx_2014.pdf	UserActivityReport	Completed	05/15/2014	178240	105
UAR_Ian_H_May_2014.pdf	UserActivityReport	Completed	05/15/2014	4239	2
SSR_for_First_Quarter.pdf	SearchSummaryReport	Completed	05/08/2014	2735	2
Marcheta_Assault_Report_2013.pdf	SearchCriteriaReport	In Progress	05/08/2014	0	0
SSR_for_Civil_First_Quarter.pdf	SearchSummaryReport	Completed	05/08/2014	1720	4
Marcheta_Assault_Report_yearly.pdf	SearchCriteriaReport	Completed	05/07/2014	124382	57
Marcheta_Assault_Report_2014.pdf	SearchCriteriaReport	Completed	05/07/2014	73828	36
Harrison_County_DSR_2014.pdf	DetailedSearchReport	Completed	05/07/2014	2785	2
Sheriffs_Users_May_14_Report.pdf	AgencyMemberReport	Completed	05/02/2014	3794	2
Harrison_County_Sheriff_April_2014.pdf	AgencyMemberReport	Completed	04/25/2014	3795	2
WVSR_DSR_2014.pdf	SearchSummaryReport	Completed	04/25/2014	2789	2
Sheriffs_Office_DSR_report_2013.pdf	DetailedSearchReport	Completed	04/25/2014	2811	2

Download Report Delete Report Refresh

Download the selected report.

Figure 10-48 Cross Agency Record Report Completed Status—Download Report

Once completed, N-DEx also provides the size of the report and the numbers of pages (see Figure 10-48 Cross Agency Record Report Completed Status—Download Report). To retrieve the report, the AA clicks on the completed report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button. Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report. In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEx does not automatically delete reports.

The CARR provides a history of all users from the AA's agency(ies) who viewed records from an N-DEx contributing agency(ies) during the specified reporting period. Report columns include the: Date/Time (the action was taken), User ID, First Name, Last Name, User's Agency ORI, Owner Agency Name, and the Record ID (which is the report GUID displayed on the record detailed document view (see Figure 10-49 Cross Agency Record Report).

Cross Agency Record Report						
6/3/14 2:42 PM EDT						
1/1/14 12:00 AM to 6/1/14 11:59 PM UTC						
User Agency ORIs: [FBI027070, FBI027040, FBI027050, FBI027060, FBI029040, FBIAL0001, FBIWMD000, FBICYD000, FBICTD000, FBICID000]						
Owner Agency ORIs: [FBI027070, FBI027040, FBI027050, FBI027060, FBI029040, FBIAL0001, FBIWMD000, FBICYD000, FBICTD000]						
Date/Time	User ID	First Name	Last Name	User Agency	Owner Agency	Record ID
7/16/13 9:07 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC
7/16/13 9:06 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC
7/16/13 9:04 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC
7/16/13 9:02 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC
7/16/13 8:31 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC
7/16/13 8:28 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC
7/16/13 8:09 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC
7/16/13 6:26 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC
7/16/13 6:27 PM	LEOFBI_SRCH1	tommy	tester	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	FBI027040 (FBI Test Agency - An agency created for the purpose testing N DEX)	MISSPERS_00000008-68MARC

Figure 10-49 Cross Agency Record Report

10.4.1.7 Unique Record Report

The Unique Record Report (URR) details which users have viewed a specific record during a given timeframe. The AA can select one record to be featured in the report by providing the record identification number (which is the Data Item ID located in the record XML), the record owning agency's ORI number, and the submitting agency's ORI number. All three items are required.

To request a URR, the AA opens the Audit Report menu and clicks on the URR, which places the acronym in the Report Selection window. After choosing the URR, the AA must name the report. The AA should create a name to uniquely identify each report and enter that name in the Report Name field (see Figure 10-47 Cross Agency Record Report Generation). In the Report Name field only letters, numbers, spaces, and underscores can be used. If the AA enters a name in the Report field that duplicates a name of an existing report (shown in the Audit Reports area of the screen), upon submission N-DEX prompts the AA to change the current report request's name.

Next, the AA specifies a file type for the report by clicking the down arrow beside the File Type window to display the menu of formats including: .pdf, .csv, or .xml. The AA clicks on the file type to display the selection in the File Type window (see Figure 10-19 Report Menu Options).

After selecting the URR, naming the report, and specifying the report file type, the AA can specify a date range for the report. N-DEX defaults the From and To dates to the current date. If the user does not modify either the From and/or To dates, the resulting report will cover the defaulted date range (i.e., defaulted to the current date). However, the AA can click the down arrow to display a calendar and select a specific date(s)/date range(s) for the report (see Figure 10-32 Search Criteria Report Generation).

The AA may also specify a time range for the report. N-DEX defaults the From and To Time fields to 12:00 am and 11:59 am, respectively. If the user does not modify either the From and/or To time fields, the resulting report will cover the defaulted 24 hour time range. To specify a time range, the AA clicks the down arrows beside the Time fields to display a time line where a starting time and an ending time can be selected. N-DEX defaults the time zone to UTC the time standard by which the world regulates clocks and time. The AA can click the down arrow to

display menu choices of ET, CST, MST, PST, AKST, or HAST as desired (see Figure 10-50 Unique Record Report Generation).

The screenshot shows the N-DEX System Messages page. At the top, there is a banner for N-DEX System Messages. Below this is a navigation bar with links: Search, Batch Query, Subscription, Notification, Collaboration, Management, Reports, and Preferences. The main content area is titled 'My Auditable Agencies' and 'Audit Report Generation'. A form titled 'Unique Record Report' is highlighted with a red box. The form includes the following fields:

Report	Report Name	File Type	From	To
URR	1st Quarter Record Rpt	pdf	1/1/2014	5/4/2014

Below the table, there is a section for 'Unique Record Report' details:

- Record ID: 2009548
- Owner Agency ORI: K50440000 (Find Agency... button)
- Data Submitting Agency ORI: K50440000 (Find Agency... button)

At the bottom of the form are 'Submit' and 'Reset' buttons.

Figure 10-50 Unique Record Report Generation

Additionally, the AA must specify both the Owner Agency ORI and the Data Submitting Agency ORI for the unique record ID specified in the report. Both selections are made by the AA by clicking the respective Find Agency... button (see Figure 10-50 Unique Record Report Generation). N-DEX displays the Select Agency window. Detailed instructions for finding and selecting agencies are provided in Section 10.4.1.1: Agency Member Report.

To initiate the report request, the AA clicks the Submit button. If any required data is missing, N-DEX provides an error message. Larger reports (i.e., for a large agency or for several agencies) make several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEX provides a message to remind the AA to click the Refresh button to reactivate the automatic refresh and update the report status. (This message is displayed beside the Refresh button when inactive.)

There is no limit to the number of audit reports that are contained in the Audit Reports area. All reports are displayed on one page in this area. In the Audit Reports area of the screen, N-DEX displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates the report has generated and is available for viewing. A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. Once completed, N-DEX also provides the size of the report and the number of pages (see Figure 10-48 Cross Agency Record Report Completed Status—Download Report).

To retrieve the report, the AA clicks on the completed report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button. Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEx does not automatically delete reports.

The URR provides a history of every user from any agency who has viewed the specific record during the specified reporting period. The report heading provides the report criteria (i.e., the date the report was generated, the submitting agency ORI, the Data Owner ORI, and the Record ID). The Report columns include the: Date/Time (the action was taken), User ID, First Name, Last Name, Agency ORI, and Agency Name (all of the viewing user) (see Figure 10-51 Unique Record Report).

Unique Record Report 7/17/13 10:29 AM EDT

7/14/13 12:00 AM to 7/17/13 11:59 PM UTC Submitting Agency ORI: IN049065C Data Owner ORI: IN049065C Record ID: 936711

Date/Time	User ID	First Name	Last Name	Agency ORI	Agency Name
7/17/13 1:36 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/17/13 1:32 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/17/13 1:31 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 9:07 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 9:06 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 9:04 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 9:02 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 8:31 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 8:28 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 8:09 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 6:38 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 6:27 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 6:23 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 6:18 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 6:16 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 6:14 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 6:11 PM	LEOFBI_SRCH5	FBI	sro5	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx
7/16/13 5:04 PM	LEOFBI_SRCH1	tommy	tester	FBI027040	FBI Test Agency - An agency created for the purpose testing N-DEx

Page 1

Figure 10-51 Unique Record Report

10.4.1.8 User Viewed Record Report

The User Viewed Record Report (UVRR) provides information on what N-DEx record(s) from one or more agency ORI(s) a single user from the AA's agency has viewed. The AA must specify one individual user to be the focus of the report by providing that user's N-DEx User ID number. Additionally, the AA must specify what record owning agency(ies) records are of interest by indicating the agency's(ies') ORI number(s). One or more agencies can be selected. One user and at least one record owning agency are required for this report.

To request a UVRR, the AA opens the Audit Report menu and clicks on the UVRR, which places the acronym in the Report Selection window. After choosing the UVRR, the AA must name the report. The AA should create a name to uniquely identify each report and enter that name in the Report Name field (see Figure 10-52 User Viewed Record Report Generation). In the Report Name field only letters, numbers, spaces, and underscores can be used. If the AA

enters a name in the Report field that duplicates a name of an existing report (shown in the Audit Reports area of the screen), upon submission N-DEx prompts the AA to change the current report request's name.

Next, the AA specifies a file type for the report by clicking the down arrow beside the File Type window to display the menu of formats including: .pdf, .csv, or .xml. The AA clicks on the file type to display the selection in the File Type window (see Figure 10-19 Report Menu Options).

After selecting the UVRR, naming the report, and specifying the report file type, the AA can specify a date range for the report. N-DEx defaults the From and To dates to the current date. If the user does not modify either the From and/or To dates, the resulting report will cover the defaulted date range (i.e., defaulted to the current date). However, the AA can click the down arrow to display a calendar and select a specific date(s)/date range(s) for the report (see Figure 10-32 Search Criteria Report Generation).

The AA may also specify a time range for the report. N-DEx defaults the From and To Time fields to 12:00 am and 11:59 am, respectively. If the user does not modify either the From and/or To time fields, the resulting report will cover the defaulted 24 hour time range. To specify a time range, the AA clicks the down arrows beside the Time fields to display a time line where a starting time and an ending time can be selected. N-DEx defaults the time zone to UTC. UTC is the time standard by which the world regulates clocks and time. The AA can click the down arrow to display menu choices of ET, CST, MST, PST, AKST, or HAST as desired (see Figure 10-52 User Viewed Record Report Generation).

Figure 10-52 User Viewed Record Report Generation

The AA must specify one individual user to be the focus of the report by providing that user's N-DEx User ID number. Additionally, the AA must specify what record owning agency(ies) records are of interest by indicating the agency's(ies') ORI number(s). One or more agencies can be selected. One user and at least one record owning agency are required for this report.

To locate and select a system user's N-DEx User ID, the AA clicks the Find User button (see Figure 10-52 User Viewed Record Report Generation). N-DEx displays the Find and Select User window. The AA can search for a user by entering a first and last name in the respective fields and clicking the Find button. N-DEx returns a list of current users under the AA's audit authority (see Figure 10-38 User Activity Report By User) which match the search criteria. From the list, the AA selects the desired user whose N-DEx searches will be the focus of the report in the designated time frame. The AA can scroll through the list to find the user, and select that user by

clicking on the name to highlight it and then clicking the OK button. The selected user's N-DEx User ID appears in the User ID field.

To locate and select one or more agencies, the AA clicks the Add button . N-DEx displays the Select Agency window. The AA can search for an agency ORI by agency name or agency ORI and clicking the respective Find by Name or Find by ORI button. N-DEx returns a list of agency(ies) ORI(s) which match the search criteria. From the list, the AA selects the desired agency whose N-DEx records will be the focus of the report in the designated time frame. The AA can scroll through the list to find the agency(ies), and make a selection(s) by clicking on the agency name to highlight it and then clicking the OK button. The selected agency's ORI number displays in the Agency ORI(s) field (see Figure 10-52 User Viewed Record Report Generation).

To initiate the report request, the AA clicks the Submit button. If any required data is missing, N-DEx provides an error message. Larger reports (i.e., for a large agency or for several agencies) make several minutes to complete.

After submission, the report request displays in the Audit Reports area of the Audit screen. If a report is in progress, the AA can click the Refresh button which will update the status, and indicate whether or not the report generation is nearing completion. The refresh function is an automatic function; however, it may be off due to inactivity. N-DEx provides a message to remind the AA to click the Refresh button to reactivate the automatic refresh and update the report status. (This message is displayed beside the Refresh button when inactive.)

There is no limit to the number of audit reports that are contained in the Audit Reports area. All reports are displayed on one page in this area. In the Audit Reports area of the screen, N-DEx displays the report name, the type of the report, the date it was created, and the status of the report (In-Progress, Completed or Failed). An In-Progress status indicates the report request hasn't finished generating. In-Progress reports cannot be viewed. A Completed status indicates the report has generated and is available for viewing.

A Failed status indicates the report did not and will not generate. There is no notification or reason available indicating why the report failed. In the Audit Reports area, the AA can highlight a failed report and click the Delete Report button to eliminate it.

Once completed, N-DEx also provides the size of the report and the number of pages. To retrieve the report, the AA clicks on the completed report to highlight it and clicks the Download Report button. The AA must select to open the report or to save the file by clicking the respective Radio button. Detailed instructions for downloading, opening and/or saving a report are provided in Section 10.4.1.1: Agency Member Report.

In the Audit Reports area, the AA can highlight any report no longer needed and click the Delete Report button to eliminate it. The auditor decides which reports to retain and those he/she wishes to delete. The N-DEx does not automatically delete reports.

The UVRR provides a history of every record from the specified agency(ies) the selected system user has viewed during the specified reporting period. The report heading provides the report criteria (i.e., the date/date range and time/time range the report covers, the N-DEx system user's User ID and name (who is the focus of the report), and the Agency(ies) ORI(s) and Agency Name(s) whose records the user has viewed.

The Report columns include the: Date/Time (the action was taken), User ID, First Name, Last Name, Agency ORI, and Agency Name (all of the viewing user) (see Figure 10-53 User Viewed Record Report).

User Viewed Record Report				6/6/14 9:44 AM EDT
1/1/14 12:00 AM to 6/6/14 11:59 PM UTC		User ID: LEO10192 (Jane Doe)	Agency ORI List: [CA0190000]	
Date/Time	Record ID	Agency ORI	Agency Name	
6/4/14 8:13 PM	4b1c304a-2449-4918-96c7-42c20a3b5d09	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:13 PM	5bfb3a98-2a70-4d87-ae05-58403183fa4e	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:13 PM	BOOKING.LASD.207517417	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:13 PM	195c5d9f-cce5-4cbb-b791-ae0235695abf	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:13 PM	BOOKING.LASD.194599811	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:13 PM	a720a528-c20c-4529-8a5b-9854ba88002b	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:13 PM	1370c298-2468-4453-86c7-c2060765879e	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:13 PM	949b5e7-e3f4-433e-9a02-e236cf2c2d6	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:12 PM	c7c0d995-b269-4788-8c72-7925a8d5d94d	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:12 PM	9552ba4-4155-4004-84ae-040ec7894778	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:12 PM	a51e7867-8335-41ca-998a-89dcd08baa52	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:12 PM	2ae36373-1f63-4a61-91c3-caa87971ed7e	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:11 PM	12c60202-5162-46f4-a227-12c0cde959ea	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:11 PM	1a3a0221-61c2-4504-a8f0-4b8f5cb09027	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:10 PM	12c60202-5162-46f4-a227-12c0cde959ea	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:10 PM	BOOKING.LASD.183587442	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:10 PM	1a3a0221-61c2-4504-a8f0-4b8f5cb09027	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:10 PM	a51e7867-8335-41ca-998a-89dcd08baa52	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:10 PM	2ae36373-1f63-4a61-91c3-caa87971ed7e	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:10 PM	BOOKING.LASD.181922189	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:10 PM	a087a055-4305-40bb-8081-0fc1fda70c3	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:09 PM	8d870098-4305-483c-bd75-8a3b792c6d68	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:08 PM	BOOKING.LASD.181289449	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:08 PM	fa4a81b-5405-4a99-855f-1adaf2ca22a8	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:08 PM	76db23a5-0a84-4506-81b6-b040e857a393	CA0190000	COPLINK - Los Angeles County SO	
6/4/14 8:08 PM	aaaaace9-9bd9-4175-be15-e6b8430ca530	CA0190000	COPLINK - Los Angeles County SO	

Page 1

Figure 10-53 User Viewed Record Report

10.4.2 Audit Admin—Delegate AA Role

The AA can delegate audit administration to an individual(s) from any of the agency/ORIs under his/her authority. The AA has the ability to assign ORIs to a Delegated Audit Admin. The Delegated Audit Admin has the same capability as the Audit Admin to manage audit reports regarding user activity, search statistics, search criteria, and viewed records for assigned users/agencies. To delegate the role, the AA utilizes the User Management sub-tab. For detailed information on how to delegate this administrative role to another N-DEX user(s) and enable that/those individual(s) to have audit administrative system functionality and tools to perform the role; see detailed instructions in Section 10.3 User Administrator

After an individual is assigned the Delegated CSO role, he/she will have the Management tab on the N-DEX tool bar and will use that tab to perform his/her administrative management tasks. For detailed information on the performance of the Delegated Audit Administrator role, the Delegated AA should; see detailed instructions in Section 10.4: Audit Administrator through Section 10.4.1.8: User Viewed Record Report, excepting Section 10.4.1: Audit Admin Manage Audit Reports. A Delegated Audit Admin cannot further delegate this role to others.

Figure 10-54 Total Search Report Generation Screen

10.5 Training Administrator

The Training Administrator (TA) manages training within N-DEx, including generating training reports. Also, the TA can delegate his/her training management role; a Delegated Training Administrator (Delegated Training Admin) performs all of the TA tasks but cannot further delegate this role.

After an individual is assigned the TA role, he/she will have the Management tab on the N-DEx tool bar and will use that tab to perform his/her N-DEx administrative management tasks (see Figure 10-55 Management Tab—Training Management). The tasks of the N-DEx UA are:

- Assign and manage training courses within the N-DEx system (for assigned users/agencies [ORIs]).
- Generate training reports (for assigned users/agencies [ORIs]).
- Delegate N-DEx training administration.

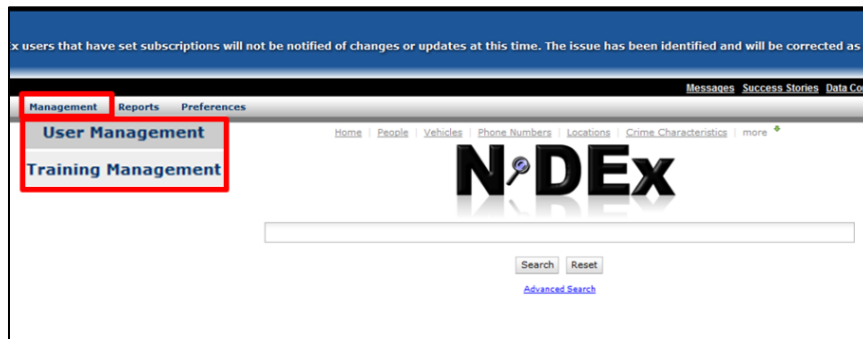


Figure 10-55 Management Tab—Training Management

10.5.1 Training Admin—Assign and Manage N-DEx Training Courses

TAs can assign and manage N-DEx training when users complete CBT modules within the N-DEx system. TAs can also assign and manage agency-administered courses taken outside the N-DEx system using the N-DEx training administration capability. To perform these administrative duties for any user(s) he/she has training administrative authority over, the TA will utilize the Management tab and the Training Management sub-tab. The TA clicks the Training Management sub-tab which displays the Training Reports screen (the default display). On the Training Reports screen, the TA will note two tabs: Reports and Training Assignments

(see Figure 10-56 Reports and Training Assignments Tabs). There are three steps to assign a training course: Select a User or Agency, Select a Course Type and Status, and View the Assignment(s).

Figure 10-56 Reports and Training Assignments Tabs

10.5.1.1 Assign Training Courses (Internal to N-DEx)

To assign training courses to those user(s) or agency(ies) over which he/she has training administrative authority, the TA clicks the Training Assignments tab to display the Training Assignments screen. Training may be assigned to an individual user or to all users from an agency. On the Training Assignments screen, to assign training to a single user, the TA must select the Find User... button to search for an individual user to manage (i.e., assign training) (see Figure 10-57 Training Assignments.)

Figure 10-57 Training Assignments

When the TA clicks the Find User... button N-DEx displays the Find and Select User window. The TA can search for a user by entering a first and last name in the respective fields and clicking the Find button. Other search Booleans, such as the wildcard (*), can be used by the TA to search for users (see Figure 4-26 Advanced Search Tips). N-DEx returns a list of current users

under the TA's administrative authority who match the search criteria (see Figure 10-58 Training Assignments—Find and Select User). From the list, the TA selects the desired user who will be assigned training. The TA can scroll through the list to find the user, and select that user by clicking on the name to highlight it and then clicking the OK button. After the TA selects the user, that person's N-DEx User ID will display in the User ID field.

The screenshot shows the 'Training Assignments' window. It has three main sections: '1. Select a User or Agency:', '2. Select Course Type & Status:', and '3. View Assignments:'. In the first section, there are fields for 'User ID' and 'ORI' with 'Find User...' and 'Find Agency...' buttons respectively. In the second section, there are dropdowns for 'Course Type' and 'Course Status', and 'View' and 'Reset' buttons. In the third section, there is a table with columns: Name, User ID, ORI, Courses, and Edit. Overlaid on this is a 'Find and Select User' dialog box. It has fields for 'First Name' (containing 'John') and 'Last Name' (containing 'Doe'), and a 'Find' button. Below these is a list box containing three entries: 'Doe, John – LEOJDOE0020', 'Doe, John – LEO90901' (which is highlighted in blue), and 'Doe, Jon – LEOJDOE256'. At the bottom of the dialog are 'OK' and 'Cancel' buttons.

Figure 10-58 Training Assignments—Find and Select User

Training can also be assigned by the TA to all users from a specific agency. The TA must select the Find Agency... button to search for an agency (see Figure 10-57 Training Assignments). When the TA clicks the Find Agency... button, N-DEx displays the Select Agency window. The TA can search for an agency by entering that agency's name in the Name field and clicking the Find by Name button. Or, the TA can search for an agency by entering that agency's ORI in the ORI field and clicking the Find by ORI button. N-DEx returns a list of current agency ORIs under the TA's administrative authority which matches the search criteria. From the list the TA selects the desired ORI, all of whose users will be assigned training. The TA can scroll through the list to find the ORI, and select that agency by clicking on its name to highlight it. Then the TA must click the OK button. After the TA selects the ORI, that agency's ORI will display in the ORI field. However, if the TA assigns a course(s) to all users from a specific ORI, he/she should remember any edits to that enrollment must be performed on one individual at a time.

After selecting a user or an agency, the TA must then select a course type and a course status. Course types include all current N-DEx CBTs (such as the *N-DEx Policy and Operating CBT* or the *User Overview*), or any agency-administered course requirement; see detailed instructions in Section 10.5.1.2: Assign Training Courses (External to N-DEx). The TA can also elect to assign

all required training courses (which is the default). Next, the TA must select a course status. Course statuses include:

- a. **Completed:** Any completely finished course(s) as reflected in the Course column on the Training Assignments screen.
- b. **Incomplete:** Any unfinished or incomplete course(s) as reflected in the Course column on the Training Assignments screen.
- c. **Expired:** Any course(s) past the course expiration date (typically more than two years past the completion date) as reflected in the Course column on the Training Assignments screen.
- d. **Expiring:** Any course(s) within 30 days of the course expiration date (typically two years past the completion date) as reflected in the Course column on the Training Assignments screen.
- e. **None:** No course(s) has been assigned to the user.

The TA can also elect to assign all course statuses, which is the default (see Figure 10-59 Course Type and Course Status). When the TA chooses any of the above course statuses, N-DEx will display any course(s) for the user that match the selected status.

The screenshot shows the 'Training Assignments' interface. At the top, there are tabs: Search, Batch Query, Subscription, Notification, Collaboration, Management, Reports, and Preferences. The 'Reports' tab is active, and 'Training Assignments' is selected within it. The main heading is 'Training Assignments'. Below this, there are three sections: '1. Select a User or Agency:', '2. Select Course Type & Status:', and '3. View Assignments:'. In section 1, 'User ID' is 'LE090901' and 'ORI' is empty. In section 2, 'Course Type' is 'All' and 'Course Status' is 'All'. A dropdown menu for 'Course Status' is open, showing options: All, Completed, Incomplete, Expired, Expiring, and None. In section 3, there are 'View' and 'Reset' buttons. Below these sections is a table with columns: Name, User ID, ORI, and Edit. The table is currently empty.

Figure 10-59 Course Type and Course Status

After selecting a User or an Agency, and a course type and a course status, the TA clicks the View button under the View Assignments area of the Training Assignments screen. For each user, information is displayed in the center of the screen including the system user's name, User ID, agency ORI number, and any Course title(s) which have been assigned (see Figure 10-60 Assigned). If the TA has not assigned any courses to the user, a designation of None will display in the Courses column.

Training Assignments

1. Select a User or Agency:

User ID:

ORI:

2. Select Course Type & Status:

Course Type:

Course Status:

3. View Assignments:

Name	User ID	ORI	Courses	Edit
Doe, John	LEO90901	WVNDX0000	none	

Figure 10-60 Assigned Training

To assign a course(s) to a user, the TA clicks the Edit icon . N-DEx opens the Edit User Courses window (see Figure 10-61 Edit User Courses Window). The TA can view all available courses by Course title, the user's current course status for each, and any expiration date. Course statuses are: Completed, Incomplete, Expired, Expiring, or N/A (not assigned). The expiration date indicates the period of time for which a completed course is valid according to minimum standards as set forth in the *N-DEx Policy and Operating Manual* and/or any additional standards established by the user's CSO or TA. However, the TA may want to re-schedule the completion date for the user to re-take the course (for example, due to changes in policy or procedures). The user must repeat and complete the course to renew on or before the date reflected in the Expiration Date column.

Training Assignments

1. Select a User or Agency: User ID: DOE, JOHN – LEO90901 Find User... ORI: Find Agency...

2. Select Course Type & Status: Course Type: All Course Status: All View Reset

3. View Assignments:

Edit User Courses

John Doe

Name	User	Status	Expiration Date	
Doe, John	LEO90901			
Courses				
Administrative Roles	N/A	N/A		Enroll
Agency Administrator	N/A	N/A		Enroll
Collaboration	N/A	N/A		Enroll
Data Management	N/A	N/A		Enroll
Data Sharing	N/A	N/A		Enroll
Initiating System Policies	N/A	N/A		Enroll
N-DEx Policy and Operating CBT	N/A	N/A		Enroll
NOCIR	Completed	9/16/2016		Edit
Search	N/A	N/A		Enroll
Subscription and Notification	N/A	N/A		Enroll
User Overview	N/A	N/A		Enroll
Visualization	N/A	N/A		Enroll

Figure 10-61 Edit User Courses Window

Next, the TA clicks the Enroll link for the course. N-DEx changes the link to an Edit icon  and reflects the newly assigned course status as incomplete.

N-DEx automatically schedules an expiration date two years from the date the course is completed. However, if the TA needs to add a different expiration date, he/she can click the Edit icon for the course to open additional fields (see Figure 10-62 Assign Course Expiration Date). The TA clicks the Calendar icon  beside Expiration Date field to display a calendar where he/she can click on the desired date to select it. N-DEx will place that date in the Expiration Date field. To save the dates, the TA must click the Save button. The TA can change an expiration date after it has been saved by clicking on the Edit icon, re-displaying the calendar and selecting a different date. After all course assignments are made, the TA must close the Edit User Courses window by clicking the Close icon .

Edit User Courses

John Doe

Courses

Course	Status	Expiration Date	
Administrative Roles	N/A	N/A	Enroll
Agency Administered	N/A	N/A	Enroll
Collaboration	N/A	N/A	Enroll
Data Management	N/A	N/A	Enroll
Data Sharing	N/A	N/A	Enroll
Initiating System Policies	N/A	N/A	Enroll
N-DEx Policy and Operating CBT	Incomplete	N/A	
NCIC/III	Completed	01/02/2016	
Search	N/A	N/A	Enroll
Subscription and Notification	N/A	N/A	Enroll
User Overview	N/A	N/A	Enroll
Visualization	N/A	N/A	Enroll

Course: N-DEx Policy and Operating CBT

Status: Incomplete

Expiration Date:

Course Completion Dates:

N-DEx Policy and Operating CBT

Save **Cancel**

Calendar: July 2014

S	M	T	W	T	F	S
29	30	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2
3	4	5	6	7	8	9
2013		2014		2015		

Figure 10-62 Assign Course Expiration Date

N-DEx returns the TA to the Training Assignments screen where the newly assigned course is reflected. In the Courses column, the status of the course is included so the TA can readily see whether the course is completed or incomplete (see Figure 10-63 Currently Assigned Training Courses). When a user completes a CBT within the system, N-DEx automatically logs the completion date. When the TA subsequently views that user's training assignments, the completion will be reflected as the course status and an expiration date shown. Additionally, the TA can generate a training report for the user and all courses assigned to that user, including the newly assigned course, will be reflected; see detailed instructions in Section 10.5.2: Training Admin—Generate Training Reports.

On the Training Assignments screen, the TA can click the Reset button under View Assignments to clear all search criteria from the fields. N-DEx remains on the Training Assignments screen where the TA can perform additional user training enrollments or select another menu tab or sub-tab to perform other system functions.

Training Assignments

1. Select a User or Agency: User ID: Find User... ORI: Find Agency...

2. Select Course Type & Status: Course Type: Course Status: View Reset

3. View Assignments:

Name	User ID	ORI	Courses	Edit
Doe, John	LEO90901	DCFBWA00	- NCIC/III (Completed) - N-DEX Policy and Operating CBT (Incomplete)	

Figure 10-63 Currently Assigned Training Courses

Once the TA has enrolled the user in a course, that user will get notice of the enrollment. N-DEX provides the user notification via the Notifications Tab in the system. When the user clicks the Notifications Tab, enrollment will display in the Notifications Inbox (see Figure 10-64 Course Notification). The course notification will include training enrollment as the type and a summary advising that the enrollment has been made. Users can also click the Detail Report icon to open a detailed report on the enrollment notice. In addition to the N-DEX system notification, once the TA enrolls a user(s), an e-mail is sent to the user's e-mail address (on record in the user's N-DEX preferences).

N-DEX System Messages

Have you had success using N-DEX? Submit your story to ndex@leo.gov and enter N-DEX's new Success Story of the Year Award program.

Notifications

Notification Inbox

From: To: Type: Apply Filter Reset

Displaying 10 results per page [change](#) 1 - 2 Total: 2

Viewed	Name	Type	From	DateTime	Summary	Detail Report	Delete
☐	Training Certificate Enrollment Notice	Training - Enrollment	N-DEX	07/09/14 13:29:16	You have been enrolled in the N-DEX Policy and Operating CBT certificate program.		
☐	Training Certificate Enrollment Notice	Training - Enrollment	N-DEX	02/13/14 16:29:03	You have been enrolled in the NCIC/III certificate program.		

Figure 10-64 Course Notification

10.5.1.2 Assign Training Courses (External to N-DEX)

The N-DEX training administrative function also provides capabilities for the TA to conveniently and easily assign and manage agency-administered training courses (external to the system). Such courses might include an NCIC/III training requirement and/or if the N-DEX CBT modules are not completed within the N-DEX system (i.e., taken via CD), etc. This administrative capability enables the TA to record such external training. To perform these administrative duties

for any user(s) he/she has training administrative authority over, the TA will utilize the Management tab and the Training Management sub-tab. On the Training Assignments sub-tab, the TA will perform all steps outlined in Section 10.5.1.1: Assign Training Courses (Internal to N-DEx) insofar as finding and selecting user(s)/agency(ies), selecting a course type and course status, and viewing the assignment(s).

To assign an external training course(s) to a user, the TA clicks the Edit icon . N-DEx opens the Edit User Courses window. Using the Edit User Course window, the TA selects the course titled Agency Administered, or the course titled NCIC/III (see Figure 10-65 Assign Agency Administered Training Course).

The Expiration Date field provides an opportunity for the TA to enter a date to indicate the period of time for which a completed course is valid according to minimum standards as set forth in the *N-DEx Policy and Operating Manual* and/or any additional standards established by the user's CSO or TA. The user must repeat and complete the course to renew on or before the date reflected in the Expiration Date column.

N-DEx automatically schedules an expiration date two years from the date the course is completed. However, if the TA needs to add a different expiration date, he/she can click the Edit icon  for the course to open additional fields. To add an expiration date, the TA clicks the Calendar icon  beside Expiration Date field to display a calendar where he/she can click on the desired date to select it. N-DEx will place that date in the Expiration Date field. To save the dates, the TA must click the Save button (see Figure 10-65 Assign Agency Administered Training Course). The TA can change an expiration date after it has been saved by clicking on the Edit icon, re-displaying the calendar and selecting a different date. To close the Edit User Courses window, the TA must click the Close icon .

Edit User Courses

John Doe

Courses

Course	Status	Expiration Date	
Administrative Roles	N/A	N/A	Enroll
Agency Administered	Incomplete	N/A	Edit Delete
Collaboration	N/A	N/A	Enroll
Data Management	N/A	N/A	Enroll
Data Sharing	N/A	N/A	Enroll
Initiating System Policies	N/A	N/A	Enroll
N-DEx Policy and Operating CBT	N/A	N/A	Enroll
NCIC/III	N/A	N/A	Enroll
Search	N/A	N/A	Enroll
Subscription and Notification	N/A	N/A	Enroll
User Overview	N/A	N/A	Enroll
Visualization	N/A	N/A	Enroll

Course: Agency Administered

Status: Incomplete
Expiration Date:

Course Completion Dates:
Agency Administered

Save **Cancel**

Calendar: July 2014

S	M	T	W	T	F	S
29	30	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2
3	4	5	6	7	8	9
2013	2014	2015				

Figure 10-65 Assign Agency Administered Training Course

For external agency-administered courses, the TA must manually record the user's course completion date. The TA should work with the user to obtain validation of his/her course completion and the completed date in order to enter it into N-DEx. To select a course completion date, the TA clicks the Calendar icon  for course completion to display a calendar where he/she can click on the desired date to select it. N-DEx will place that date in the course field. To save the date, the TA must click the Save button. The TA can change a date after it has been saved by clicking on the Edit icon , re-displaying the calendar, and selecting a different date. After agency-administered course assignments are made, the TA must close the Edit User Courses window by clicking the Close icon .

N-DEx returns the TA to the Training Assignments screen where the newly assigned course is reflected. In the Courses column, the status of the course is included so the TA can readily see whether the course is completed or incomplete. This status will assist the TA in managing training for his/her assigned users/agencies. When a user completes a CBT within the system, N-DEx automatically logs the completion date. When the TA subsequently views that user's training assignments, the completion will be reflected as the course status and an expiration date shown.

Additionally, the TA can generate a training report for the user and all courses assigned to that user, including the newly assigned course, will be reflected; see detailed instructions in Section 10.5.2: Training Admin—Generate Training Reports.

On the Training Assignments screen, the TA can click the Reset button under View Assignments to clear all search criteria from the fields. N-DEx remains on the Training Assignments screen where the TA can perform additional user training enrollments or select another menu tab or sub-tab to perform other system functions.

Once the TA has enrolled the user in a course, that user will get notice of the enrollment. N-DEx provides notification to the user via the Notifications Tab in the system. When the user clicks the Notifications Tab, enrollment will display in the Notifications Inbox (see Figure 10-64 Course Notification). The course notification will include training enrollment as the type and a summary advising that the enrollment has been made. Users can also click the Detail Report icon  to open a detailed report on the enrollment notice. In addition to the N-DEx system notification, once the TA enrolls a user, an e-mail is sent to the user's e-mail address (on record in the user's N-DEx preferences).

Any user can set a preference (under their Preferences tab) to be notified of all expiring and expired training. Users can schedule notifications to be made 30 days in advance of the expiration date. A TA can set his/her own course notification(s); however, a TA cannot set notifications for any of the users under his/her administrative authority.

10.5.1.3 Edit Assigned Training Courses

After the TA has assigned one or more courses to a user under his/her administration, the TA can edit that assignment as needed. If the TA assigns a course(s) to all users from a specific ORI, he/she should remember any edits to that agency enrollment must be performed on one individual at a time.

In the Edit User Courses window, to remove a training assignment, the TA clicks the Remove icon . N-DEx will return the course status back to N/A and the Edit icon back to an Enroll link.

The TA can also change an expiration or completed date after it has been saved by clicking on the course Edit icon  to open additional fields on the Training Assignments screen. The TA clicks the Calendar icon  beside Expiration Date field or Course Completion Date field to display a calendar where he/she can click on a different date to select it. N-DEx will place the new date in the Expiration Date field or Course Completion Date field. To save the date(s), the TA must click the Save button. After edits to assigned training courses are made and saved, the TA must close the Edit User Courses window by clicking the Close icon .

10.5.2 Training Admin—Generate Training Reports

Training reports will greatly aid the TA in managing his/her agency's(ies') training requirements. Report information includes: the training status of all users, selected users, agencies or by course status. Course statuses are:

- All:** Selecting this status will display all training/status of all users.
- Completed:** Selecting this status will display all currently offered CBT courses completed in N-DEx, as well as any training that was assigned by the TA (i.e., agency-administered training, NCIC/III, etc.).
- Incomplete:** Selecting this status will display all courses that have been assigned to a user(s) but not completed.
- Expired:** Selecting this status will display all expired courses (with a date that tolled two years from the course completion date).
- Expiring:** Selecting this status will display courses that are within 30 days of expiration (with a date that is 30 days prior to the two year course completion date expiration).

TAs may view reports for N-DEx training utilizing the Management tab and the Training Management sub-tab. The TA clicks the Training Management sub-tab to display the Training Reports screen (the default display). On the Training Reports screen, the TA will note two tabs: Reports and Training Assignments (see Figure 10-56 Reports and Training Assignments Tabs). To generate a training report on those user(s) or agency(ies) over which he/she has training administrative authority, the TA clicks the Reports tab to display the Training Report screen (see Figure 10-66 Training Report Screen).

Figure 10-66 Training Report Screen

There are three steps to viewing a training report: Select a User or Agency, Select a Course Status, and View the Report.

On the Training Report screen, to generate a report on a user(s) or agency(ies) over which he/she has training administrative authority, the TA must search for an individual user or agency who will be the focus of the report. The TA clicks the Find User... button to display the Find and Select User window. The TA can search for a user by entering a first and last name in the respective fields and clicking the Find User... button. Other search Booleans, such as the wildcard (*), can be used by the TA to search for users (see Figure 4-26 Advanced Search Tips). N-DEx returns a list of current users under the TA's administrative authority who match the search criteria. From the list, the TA selects the desired user who will be assigned training. The

TA can scroll through the list to find the user, and select that user by clicking on the name to highlight it and then clicking the OK button (see Figure 10-67 Training Report—Find and Select User). After the TA selects the user, that person's User ID will display in the User ID field.

Figure 10-67 Training Report—Find and Select User

A training report can also be generated by the TA on all users from a specific agency. The TA must select the Find Agency... button to search for an agency. When the TA clicks the Find Agency... button, N-DEX displays the Select Agency window. The TA can search for an agency by entering that agency's name in the Name field and clicking the Find by Name button. Or, the TA can search for an agency by entering that agency's ORI in the ORI field and clicking the Find by ORI button. N-DEX returns a list of current agency ORIs under the TA's administrative authority that matches the search criteria. From the list the TA selects the desired ORI, all of whose users will be featured in the training report. The TA can scroll through the list to find the ORI, and select that agency by clicking on its name to highlight it. Then the TA must click the OK button. After the TA selects the ORI, that agency's ORI will display in the ORI field.

After selecting a user or an agency, the TA must then select a course status. Course statuses include: Completed, Incomplete, Expired, Expiring, or None; see course status definitions in Section 10.5.1.1: Assign Training Courses (Internal to N-DEX). The TA can also elect to have all course statuses, which is the default, included in the training report (see Figure 10-68 Training Report—Course Status).

Training Report

1. Select a User or Agency:

User ID: Find User...

Agency ORI: DCFBIWA00 Find Agency...

2. Select a Course Status:

Course Status: **All**

- All
- Completed
- Incomplete
- Expired
- Expiring

3. View the Report:

User ID	Name	ORI	Completed Courses	Incomplete Courses	Expired Courses	Expiring Courses

Figure 10-68 Training Report—Course Status

After selecting a User or an Agency, and a course status, the TA clicks the View button under the View the Report area of the Training Report screen. Each report provides information on the user (User ID, Name), the user's agency (ORI), and the status of any/all courses selected. Courses are displayed by name in the respective status column (see Figure 10-69 Training Report). When viewing the report, the columns may be sorted if the TA selects the column header (i.e., Name, ORI, Completed Courses, etc.).

Training Report

1. Select a User or Agency:

User ID: Find User...

Agency ORI: DCFBIWA00 Find Agency...

2. Select a Course Status:

Course Status: **All**

3. View the Report:

User ID	Name	ORI	Completed Courses	Incomplete Courses	Expiring Courses	Expired Courses
LEOUSER_3	User, Basic	CA0070600	• N-DEx Policy and Operating CBT	• User Overview	none	none
LEOUSER_2	User, Basic	CA0070500	• N-DEx Policy and Operating CBT	none	none	none
LEOUSER_1	User, Basic	CA0070400	• N-DEx Policy and Operating CBT	none	none	none

Figure 10-69 Training Report

N-DEx provides TAs with the capability to export training reports as either a .pdf, or a .csv file. The TA clicks the button corresponding to the file format (either the Export Report as CSV button or the Export Report as PDF button). An action window displays where the TA must select to open the report or to save the file. The TA must click one of the Radio buttons to make his/her selection and also select the software program to open the file with. The TA can click the arrow to display the menu options of Microsoft Excel[®] (the default selection for a .csv file or Adobe Acrobat[®] the default selection for a .pdf file) or Other (see Figure 10-70 Export Training

Report). When the TA selects Other, a second action window displays with software options including: Windows Media Center[®], Notepad[®], etc. However, these file formats may not be able to display a .csv or .pdf file type. After making the selections, the TA clicks the OK button which displays the report in the selected file type in a separate window for viewing and/or saving.

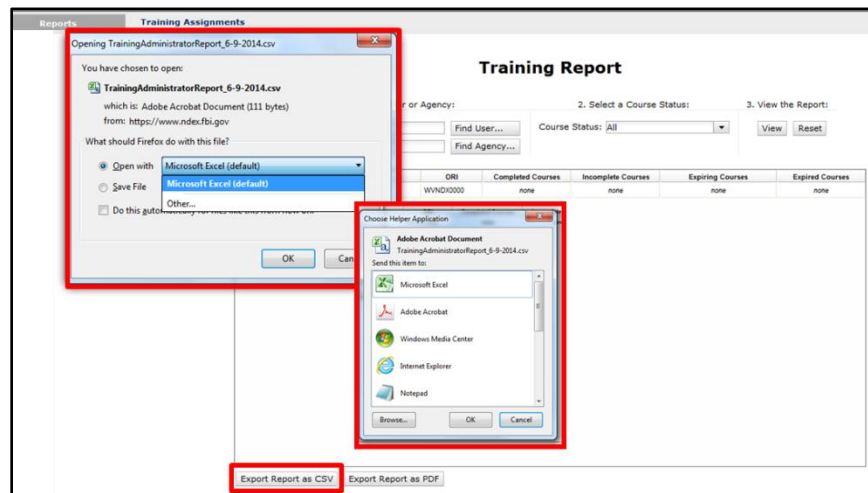


Figure 10-70 Export Training Report

On the Training Report screen, the TA can click the Reset button under View the Report to clear all search criteria from the fields. N-DEx remains on the Training Report screen where the TA can generate additional training reports or select another menu tab or sub-tab to perform other system functions.

10.5.3 Delegate Training Administrator

The TA can delegate training administration to an individual(s) from any of the agency/ORIs under his/her authority. The TA has the ability to assign ORIs to a Delegated Training Admin. The Delegated Training Admin has the same capability as the TA to assign and manage user training, and generate and view training reports for assigned users/agencies. To delegate the role, the TA utilizes the User Management sub-tab. For detailed information on how to delegate this administrative role to another N-DEx user(s) and enable that/those individual(s) to have training administrative system functionality and tools to perform the role; see detailed instructions in Section 10.3 User Administrator.

For detailed information on the performance of the Delegated Training Administrator role, the Delegated TA should; see detailed instructions in Sections 10.5: Training Administrator through Section 10.5.2: Training Admin—Generate Training Reports. A Delegated Training Admin cannot further delegate this role to others.

10.6 Source Data Administrator Responsibilities

The SDA is assigned by either his/her respective agency or the data submitting agency, and is responsible for:

- a. Managing and monitoring the submission of data into N-DEx for his/her assigned agency(ies), including manual data entry of record(s) if authorized.

- b. Implementing and managing N-DEx sharing rules for his/her own agency and any participating data owners for whom the SDA submits data.

The submitting agency SDA, however, may delegate the responsibility for managing sharing rules to an SDA assigned by the record-owning agency. For additional information; see detailed instructions in Section 10.6.27: Delegated Data Administration.

10.6.1 Data Management Tab

An SDA, once assigned that role, has the Data Management (Data Mgmt) tab on the N-DEx toolbar. Clicking this tab displays three links: Manual Record, Data Admin, and Sharing Policy (see Figure 10-71 N-DEx Toolbar—Data Management Tab). Using these links, an SDA can perform data management tasks and responsibilities, including manual data entry of records, data administration (i.e., execute report, retrieve, view, and delete records), and can establish agency data sharing rules, including levels of sharing (green, yellow, and red sharing levels).



Figure 10-71 N-DEx Toolbar—Data Management Tab

10.6.2 Data Access

N-DEx uses the colors **green**, **yellow**, and **red** to categorize the different levels of access to submitted data. These access categories allow record-owning agencies to share their data at the level each is comfortable with, and in accordance with governing laws, regulations or policies.

GREEN (Viewable) Data:

- a. Green data are viewable.
- b. When submitting data into N-DEx, all records are considered viewable unless the record-owning agency has tagged a record(s) at a different sharing level(s) and has established specific sharing rules changing a record's status from green to either yellow or red.
- c. All N-DEx users can view green records unless the record-owning agency has set a specific sharing rule(s) limiting access to a specific exception group(s).

YELLOW (Controlled) Data:

- a. Yellow data record ID and record owning agency POC information is displayed in search results. However, to obtain access to record details, the record-owning agency POC must be contacted for discussion and a determination as to what record details are shareable (see Figure 4-54 Search Results Screen—Controlled Record).
- b. To view a controlled record, a user must be a designated member of an exception group. The agency's SDA has the capability to establish an exception group(s) by either agency type, ORI(s) or User ID. If a user is a member of an exception group, N-DEx will display the detailed record for viewing by that user.
- c. YELLOW records are not included in any entity correlations.

RED (Not Viewable) Data:

- a. Data are not viewable.
- b. Red records are not included in any entity correlations.

- c. To view a red record, a system user must be a designated member of an exception group. The agency's SDA has the capability to establish an exception group(s) by either agency type, ORI(s) or User ID. If a user is a member of an exception group, N-DEx will display the detailed record for viewing by that user.

10.6.3 Sharing Policy Sub-Tab

Working with an N-DEx Liaison Specialist, the record-owning/submitting agency must submit an N-DEx Data Sharing Worksheet before its records are initially ingested into the system. The agency completes the worksheet determining what sharing rules are needed to protect its data and enable authorized sharing of that data within N-DEx with other CJA users. The agency SDA is responsible for establishing those sharing rules and exception groups within N-DEx through the Data Mgmt tab, Sharing Policy link.

From the Data Mgmt tab, clicking the Sharing Policy link displays the Rule-Based Sharing screen which is the default display (see Figure 10-72 N-DEx Data Sharing—Rule-Based Sharing (Default) Screen). This screen displays an agency's current sharing rules and any pre-established agency sharing groups. Using the Sharing Policy link, an SDA can build and store agency specific sharing rules (sharing policy type). The SDA can either adopt a pre-defined sharing rule or create a new rule based upon the agency's sharing requirements.

Rule Name	Access	Order	Rule Status	Rule Conditions
juv cases	Yellow	1	Enabled	PersonAge <= 17
AssignedPolicy_2	Yellow	2	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (robbery) AND WitnessAge < 18
AssignedPolicy_3	Yellow	3	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (larceny) AND SubjectAge < 18
AssignedPolicy_4	Red	4	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (assault) AND VictimAge < 18
AssignedPolicy_5	Yellow	5	Disabled	ReportType in list (Incident Report)
AssignedPolicy_6	Red	6	Disabled	ReportType in list (Incident Report)
AssignedPolicy_7	Yellow	7	Disabled	ReportType in list (Incident Report)
AssignedPolicy_8	Red	8	Disabled	ReportType in list (Incident Report) AND PersonAge < 18

Figure 10-72 N-DEx Data Sharing—Rule-Based Sharing (Default) Screen

Sharing Policy types are:

- a. Agency-Based Sharing.
- b. Rule-Based Sharing.
- c. Document Sharing Status.

Each sharing type corresponds to its separate tab under the Sharing Policy link. A submitting SDA can also use the Sharing Policy link, Delegated Data Administration tab to delegate data administration to a SDA assigned by the record-owning agency (or delegated SDA); see detailed instructions in Section 10.6.27: Delegated Data Administration.

10.6.4 Sharing Rules

It is each record-owning agency's responsibility to determine its comprehensive policy delineating what types of information to share and protect. It is the responsibility of each SDA to establish those sharing policy(ies) as initial sharing rules (for each record-owning agency he/she is responsible for) **prior to** N-DEx ingesting that agency's data.

Record data are submitted by an agency and its sharing rules are applied by the N-DEx system upon receipt and ingest. N-DEx recognizes which sharing rules apply to what records and applies those rules to the submitted data prior to anyone viewing the record(s). If more than one rule applies to a specific record, the most restrictive rule is applied. Sharing rules always apply to the entire record. An SDA is not able to restrict specific fields within a record (such as victim information) from view.

If an SDA manages data for more than one agency, in order to assign a sharing rule(s) to all agencies at once, the All Data Owners button can be chosen. If an SDA manages data for only one agency, however, the All Data Owners button is disabled (see Figure 10-73 Assign Sharing Rules to Selected Data Owner or All Data Owners Buttons). N-DEx defaults to the Selected Data Owners button being selected.

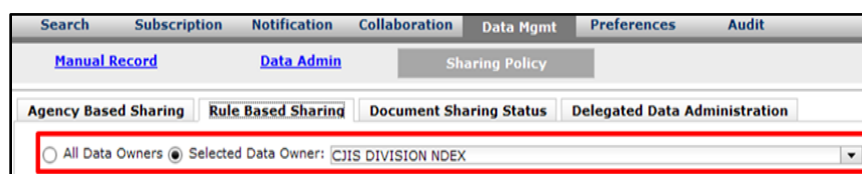


Figure 10-73 Assign Sharing Rules to Selected Data Owner or All Data Owners Buttons

To set sharing rules for a specific agency, an SDA clicks the Selected Data Owner Radio button. Clicking the down arrow displays a menu which lists all of the agencies managed by that SDA. From the menu, the SDA can select the desired agency name by clicking on that name. The selected agency name will display in the Selected Data Owner field. Any sharing rule established will be applied to only the selected agency and not the other agencies managed by the SDA.

An SDA may modify sharing rules at any time. If the SDA changes or deletes the sharing rules, the agency's(ies') records in N-DEx must be re-evaluated in order for the new rules to be applied to any existing records. During the re-evaluation process, an SDA cannot make any additional changes to the sharing rules. For additional information; see detailed instructions in Section 10.6.20: Re-Evaluation Process.

10.6.5 N-DEx Dissemination Criteria Tag Rules

An agency's RMS vendor may have a method by which it can tag records with the agency's sharing instructions prior to submission to N-DEx. The agency's RMS applies the sharing rules as tags within the data. These tags are identified as green, yellow, or red when data are sent to the N-DEx system. The SDA is then responsible for establishing Rule-Based Sharing rules so N-DEx can apply the dissemination criteria tag rules appropriately. For details regarding Records Management System (RMS) tagging, contact the N-DEx PO.

An SDA clicks the corresponding Sharing Policy type link on the Data Mgmt tab, either Agency-Based Sharing, Rule-Based Sharing or Document Based Sharing tabs, to initiate an agency's sharing rules.

10.6.6 Agency-Based Sharing Rules

A record-owning agency can establish N-DEx rules to permit sharing of its records with specific type(s) of agency(ies). Agency types are defined by the ninth character of an agency's ORI (see Figure 10-74 Agency-Based Sharing Screen).

N-DEx authorized agency types (Correctional Agencies; Courts and Magistrates; Custodial Medical/Psychiatric; Law Enforcement Agencies; Other Criminal Justice Agencies; Pre-Trial Service Agencies; Probation/Parole Agencies; Prosecuting/District Attorneys; Railroad or Campus Police; and Regional Dispatch Centers) which are displayed in the Group column. The current and/or default (green) sharing level designation for an agency type, or group, is indicated in the Sharing Level column. SDAs can customize a specific group or agency type at the State or Territory level by using the customized buttons.

Group	Sharing Level
☐ Owning Agency	Green
☐ In-State Agencies	Green
☐ Correctional Agencies	Green Customize
☐ Courts and Magistrates	Green Customize
☐ Custodial Medical/Psychiatric	Green Customize
☐ Law Enforcement Agencies	Green Customize
☐ Other Criminal Justice Agencies	Green Customize
☐ Pretrial Service Agencies	Green Customize
☐ Probation/Parole Agencies	Green Customize
☐ Prosecuting/District Attorneys	Green Customize
☐ Railroad or Campus Police	Green Customize
☐ Regional Dispatch Centers	Green Customize

Figure 10-74 Agency-Based Sharing Screen

10.6.7 Set Sharing Level(s) for Selected Agency(ies)

To set Agency-Based Sharing levels for any agency type group (see Figure 10-72 N-DEx Data Sharing—Rule-Based Sharing (Default) Screen), the SDA must:

- Click on the Data Mgmt tab and then click on the Sharing Policy link.
- Click on the Agency-Based Sharing tab.
- Check the box next to the appropriate Agency Type to make a selection. Clicking the box places a check mark next to the selection.
- Click on the applicable Sharing Level Button (Green=Viewable; Yellow=Controlled; or Red=Not Viewable).
- Click the Save button to retain the selection(s).

Group	Sharing Level	Customize
☐ Owning Agency	Green	
☐ In-State Agencies	Green	
☐ Correctional Agencies	Green	Customize
☐ Courts and Magistrates	Green	Customize
☒ Custodial Medical/Psychiatric	Yellow	Customize
☐ Law Enforcement Agencies	Green	Customize
☐ Other Criminal Justice Agencies	Red	Customize
☐ Pretrial Service Agencies	Green	Customize
☐ Probation/Parole Agencies	Green	Customize
☐ Prosecuting/District Attorneys	Green	Customize
☐ Railroad or Campus Police	Green	Customize
☐ Regional Dispatch Centers	Green	Customize

Figure 10-75 Set Sharing Rules for Selected Agency(ies)

10.6.8 Set Sharing Level(s) for Multiple Agency Types

In a time-saving measure, if the sharing level is the same for multiple agency types, SDAs can set the sharing rule for those categories in one step. The same sharing level can be applied to multiple agency groups by clicking each desired agency type which places a check mark in the box to the left of the agency name(s). The SDA then selects the applicable sharing level and saves the new rule. The same sharing level is then applied to all of the checked agency types.

10.6.9 Set Sharing Level(s) for All Agencies within Owning Agency's State

The SDA must decide if the rule that is being set applies to all CJA agencies within their state. If the sharing level applies to **all** agencies within the owning agency's state, it can be applied by:

- Clicking the Enabled button displays a Green Sharing Level box on the In-State Agencies row. Once the In-State Agencies button has been enabled, the sharing level cannot be edited for the individual agency types within the respective state. The respective state will be deactivated (grayed out) on the Customization button and cannot be modified.
- Checking the box to the left of the In-State Agencies name to change the sharing level. Clicking the box places a check mark next to the selection.
- Clicking the applicable sharing level (Green=Viewable, Yellow=Controlled, or Red= Not Viewable) button.
- Clicking the Save button to apply the sharing level to ALL agency types within the record-owning agency's state.

To disable the In-State Agencies option, the SDA must click on the Disable button and click the Save button to apply the rule change.

However, an SDA must be aware that in order to modify or delete a rule to all of the agency's existing records in N-Dex, a re-evaluation process must be performed. For additional

information and instructions on how to initiate the re-evaluation process; see detailed instructions in Section 10.6.20: Re-Evaluation Process.

Clicking the Cancel button negates any selections made and abandons any changes, leaving current sharing levels in effect.

10.6.10 Customized Agency-Based Sharing

An SDA may customize Agency-Based sharing levels at either the State or U.S. Territory level. For instance, an agency may not be able to share its data with a particular state or territory due to requirements of state law. To customize sharing rules an SDA:

- Clicks on the Customize button for the specific Agency Type selection to display the Jurisdiction Table for the agency type.
- Clicks the box to the left of the appropriate State abbreviation(s) or U.S. Territory name(s).
- Clicks the appropriate sharing level (see Figure 10-76 Customize Agency(ies) Sharing Rule—Jurisdiction Window).

The screenshot shows the 'Customize Agency(ies) Sharing Rule—Jurisdiction Window'. On the left, a table lists various agency groups with their current sharing levels and a 'Customize' button. The 'Correctional Agencies' group is highlighted, and its 'Customize' button is circled in red. On the right, a 'Jurisdiction info for Correctional Agencies' window is open, showing a table of states and territories. The 'CA' (California) entry is circled in red, and the 'Apply' button is also highlighted with a red box.

Group	Sharing Level	Action
Owning Agency	Green	Enable
In-State Agencies	Green	Enable
Correctional Agencies	Green	Customize
Courts and Magistrates	Green	Customize
Custodial Medical/Psychiatric	Green	Customize
Law Enforcement Agencies	Green	Customize
Other Criminal Justice Agencies	Green	Customize
Pretrial Service Agencies	Green	Customize
Probation/Parole Agencies	Green	Customize
Prosecuting/District Attorneys	Green	Customize
Railroad or Campus Police	Green	Customize
Regional Dispatch Centers	Green	Customize

Jurisdiction info for Correctional Agencies	
Select All	Clear All
States	Territories
AL Green	Puerto Rico Green
AK Yellow	American Samoa Green
AZ Green	District of Columbia Green
AR Green	Guam Green
CA Red	Virgin Islands Green
CO Green	
CT Green	
DE Green	
FL Green	
GA Green	
HI Green	
ID Green	
IL Green	
IN Green	
IA Green	
KS Green	
KY Green	
LA Green	
ME Green	
MD Green	
MA Green	
MI Green	
MN Green	
MS Green	
MO Green	
MT Green	
NB Green	
NV Green	
NH Green	
ND Green	
NM Green	
NY Green	
NC Green	
ND Green	
OH Green	
OK Green	
OR Green	
PA Green	
RI Green	
SC Green	
SD Green	
TN Green	
TX Green	
UT Green	
VT Green	
VA Green	
WA Green	
WV Green	
WI Green	
WY Green	

Figure 10-76 Customize Agency(ies) Sharing Rule—Jurisdiction Window

- Clicks the Apply button to save the sharing level and close the jurisdiction window (Figure 10-77 Apply Customized Sharing Rules).

The screenshot shows the 'Apply Customized Sharing Rules' window. The 'Jurisdiction info for Correctional Agencies' table is visible, with the 'CA' (California) entry highlighted. The 'Apply' button is highlighted with a red box.

Jurisdiction info for Correctional Agencies	
Select All	Clear All
States	Territories
AL Green	Puerto Rico Green
AK Yellow	American Samoa Green
AZ Green	District of Columbia Green
AR Green	Guam Green
CA Red	Virgin Islands Green
CO Green	
CT Green	
DE Green	
FL Green	
GA Green	
HI Green	
ID Green	
IL Green	
IN Green	
IA Green	
KS Green	
KY Green	
LA Green	
ME Green	
MD Green	
MA Green	
MI Green	
MN Green	
MS Green	
MO Green	
MT Green	
NB Green	
NV Green	
NH Green	
ND Green	
NM Green	
NY Green	
NC Green	
ND Green	
OH Green	
OK Green	
OR Green	
PA Green	
RI Green	
SC Green	
SD Green	
TN Green	
TX Green	
UT Green	
VT Green	
VA Green	
WA Green	
WV Green	
WI Green	
WY Green	

Figure 10-77 Apply Customized Sharing Rules

If the SDA clicks the Clear All button, N-DEx will clear all selections (or all check marked states and territories). If the SDA clicks the Cancel button, any selections previously made are negated, and N-DEx abandons any customization which leaves current sharing levels in effect.

After a rule has been customized at the state or territory level, the sharing level for that Agency Type is indicated in the Sharing Level column as “Customized” (see Figure 10-78 Customized Agency Sharing Rule).

Group	Sharing Level	
☐ Owning Agency	Green	
☐ In-State Agencies	Green	
☐ Correctional Agencies	Customized	Customize
☐ Courts and Magistrates	Green	Customize
☐ Custodial Medical/Psychiatric	Yellow	Customize
☐ Law Enforcement Agencies	Green	Customize
☐ Other Criminal Justice Agencies	Red	Customize
☐ Pretrial Service Agencies	Green	Customize
☐ Probation/Parole Agencies	Green	Customize
☐ Prosecuting/District Attorneys	Green	Customize
☐ Railroad or Campus Police	Green	Customize
☐ Regional Dispatch Centers	Green	Customize

Figure 10-78 Customized Agency Sharing Rule

An SDA must be aware that in order to apply any newly established, modified, or deleted customized rules to all of the agency’s existing records in N-DEx; he/she must perform the re-evaluation process. The re-evaluation process must be run every time sharing rules are modified or deleted; see detailed instructions for re-evaluating records in Section 10.6.20: Re-Evaluation Process.

10.6.11 Rule-Based Sharing

A record-owning agency can establish N-DEx rules to permit sharing of its records based on specific report conditions. An SDA can implement such sharing rules which apply to such specific conditions when they are identified within a record(s). For example if the report is an Incident Report, the offense is an assault, and the victim is a juvenile, then the agency may wish to define a sharing level for this type of record.

Each Rule-based sharing rule can have up to 10 rule conditions. If Agency-Based Sharing Rules have been established, these will be displayed as Rule 2001. However, both Agency-Based and Rule-Based rules cannot be applied together.

An SDA establishes and/or manages Rule-Based sharing by using the Data Mgmt tab, Sharing Policy link, and the Rule-Based Sharing tab (see Figure 10-79 Rule-Based Sharing Screen).

Search Subscription Notification Collaboration **Data Mgmt** Preferences Audit

Manual Record Data Admin **Sharing Policy**

Agency Based Sharing **Rule Based Sharing** Document Sharing Status Delegated Data Administration

☐ All Data Owners ☒ Selected Data Owner: CJIS DIVISION NDEX

Records are: Online [Change Status](#) [Re-evaluation...](#)

Rule Name	Access	Order	Rule Status	Rule Conditions
juv cases	Yellow	1	Enabled	PersonAge <= 17
AssignedPolicy_2	Yellow	2	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (robbery) AND WitnessAge < 18
AssignedPolicy_3	Yellow	3	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (larceny) AND SubjectAge < 18
AssignedPolicy_4	Red	4	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (assault) AND VictimAge < 18
AssignedPolicy_5	Yellow	5	Disabled	ReportType in list (Incident Report)
AssignedPolicy_6	Red	6	Disabled	ReportType in list (Incident Report)
AssignedPolicy_7	Yellow	7	Disabled	ReportType in list (Incident Report)
AssignedPolicy_8	Red	8	Disabled	ReportType in list (Incident Report) AND PersonAge < 18

[New...](#) [Edit...](#) [Delete...](#) [Copy...](#) [Order...](#) [View Groups...](#) [View Conditions...](#)

[Show Groups](#)

Figure 10-79 Rule-Based Sharing Screen

In the center of the Rule-Based Sharing screen, a table displays the agency's(ies') existing sharing rules, if previously established. The sharing rule name(s), access level(s), rule precedence (or order), rule status(es) and a summary of the rule conditions and whether the rule has been applied or not are provided (see Figure 10-80 Rule-Based Sharing Table).

The Rule Name was originally assigned by the SDA when the rule was created to uniquely identify it. The Access column provides the SDA with the rule's current sharing level. The order the rule(s) is/are evaluated by N-DEx (as set by the SDA) is shown in the Order Column. Rules are either Enabled (currently in effect) or Disabled (not currently in effect) as indicated in the Rule Status column in the table. The summary of the rule condition(s) is/are provided in the Rule Conditions column, and whether the rule has been applied or not is provided in the Evaluated column.

Search Subscription Notification Collaboration **Data Mgmt** Preferences Audit

Manual Record Data Admin **Sharing Policy**

Agency Based Sharing **Rule Based Sharing** Document Sharing Status Delegated Data Administration

☐ All Data Owners ☒ Selected Data Owner: CJIS DIVISION NDEX

Records are: Online [Change Status](#) [Re-evaluation...](#)

Rule Name	Access	Order	Rule Status	Rule Conditions
juv cases	Yellow	1	Enabled	PersonAge <= 17
AssignedPolicy_2	Yellow	2	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (robbery) AND WitnessAge < 18
AssignedPolicy_3	Yellow	3	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (larceny) AND SubjectAge < 18
AssignedPolicy_4	Red	4	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (assault) AND VictimAge < 18
AssignedPolicy_5	Yellow	5	Disabled	ReportType in list (Incident Report)
AssignedPolicy_6	Red	6	Disabled	ReportType in list (Incident Report)
AssignedPolicy_7	Yellow	7	Disabled	ReportType in list (Incident Report)
AssignedPolicy_8	Red	8	Disabled	ReportType in list (Incident Report) AND PersonAge < 18

[New...](#) [Edit...](#) [Delete...](#) [Copy...](#) [Order...](#) [View Groups...](#) [View Conditions...](#)

[Show Groups](#)

Figure 10-80 Rule-Based Sharing Table

Rule-Based sharing rules can be created by an SDA through two methods: either selecting the new rule from a list of pre-defined rules provided by N-DEX or by creating a new, custom rule (see Figure 10-81 Rule-Based Sharing Screen—New Rule Button).

The screenshot shows the 'Rule Based Sharing' tab in a software interface. At the top, there are tabs for 'Agency Based Sharing', 'Rule Based Sharing', 'Document Sharing Status', and 'Delegated Data Administration'. Below the tabs, there are radio buttons for 'All Data Owners' and 'Selected Data Owner: Submitting Agency with 700 data owner agencies'. A dropdown menu is set to 'Records are: Online'. Below this, there are buttons for 'Change Status' and 'Re-evaluation...'. A table lists various rules with columns for Rule Name, Access, Order, Rule Status, and Rule Conditions. At the bottom left, a red box highlights the 'New...' button. Other buttons at the bottom include 'Edit...', 'Delete...', 'Copy...', 'Order...', 'View Groups...', 'View Conditions...', and 'Show Groups'.

Rule Name	Access	Order	Rule Status	Rule Conditions
Juvenile In Report Rule 3	Red	1	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
Juvenile In Report Rule 2	Red	2	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
New RuleExcept	Red	3	Enabled	AllDocuments in list (TRUE)
PA Rule	Red	4	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
Juvenile In Report Rule	Red	5	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
Submission Tag Green Rule	Red	6	Enabled	DisseminationCriteria in list (GREEN)
Juvenile In Report Rule 4	Red	7	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
Submission Tag Green Rule 2	Red	9	Enabled	DisseminationCriteria in list (GREEN)

Figure 10-81 Rule-Based Sharing Screen—New Rule Button

Figure 10-75 Set Sharing Rules for Selected Agency(ies) illustrates an agency's records viewable (Green) by all N-DEX users from Correctional Agencies, Courts and Magistrates, Law Enforcement Agencies, etc. However, access to agency records would be controlled (Yellow) for all N-DEX users from Custodial Medical/Psychiatric agencies and not viewable by any users from any other CJAs.

10.6.12 Create New Sharing Rule Using N-DEX Pre-defined Rule Conditions

To create a new rule using the list of N-DEX pre-defined rules, an SDA should:

- Click on the New button to display the Pre-defined Rules menu (see Figure 10-80 Rule-Based Sharing Table).
- Click on one of the pre-defined rules to display the pre-defined sharing rule screen (see Figure 10-82 Pre-Defined Rules Menu Selection).

The screenshot shows the 'Rule Based Sharing' tab. The 'Selected Data Owner' is 'CJIS DIVISION NDEX'. The 'Records are: Online' button is active. A table lists pre-defined rules. A red box highlights the 'Victim Saw Assault in Incident' rule, which is disabled. Other rules include 'juv cases', 'AssignedPolicy_2', 'AssignedPolicy_3', 'AssignedPolicy_4', 'Submission Tag Red', 'Submission Tag Yellow', 'Submission Tag Green', 'Juvenile In Incident', and 'Customize Rule'. Buttons at the bottom include 'New', 'Order...', 'View Groups...', 'View Conditions...', and 'Show Groups'.

Rule Name	Access	Order	Rule Status	Rule Conditions
juv cases	Yellow	1	Enabled	PersonAge <= 17
AssignedPolicy_2	Yellow	2	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (robbery) AND WitnessAge < 18
AssignedPolicy_3	Yellow	3	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (larceny) AND SubjectAge < 18
AssignedPolicy_4	Red	4	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (assault) AND VictimAge < 18
Victim Saw Assault in Incident			Disabled	ReportType in list (Incident Report)
Submission Tag Red			Disabled	ReportType in list (Incident Report)
Submission Tag Yellow			Disabled	ReportType in list (Incident Report)
Submission Tag Green			Disabled	ReportType in list (Incident Report)
Juvenile In Incident			Disabled	ReportType in list (Incident Report) AND PersonAge < 18
Customize Rule				

Figure 10-82 Pre-Defined Rules Menu Selection

- c. Modify rule conditions as needed (the rule name, precedence Order, and sharing level are the only fields which can be modified) (see Figure 10-83 Pre-Defined Rule Screen). Each field is modified by clicking in the respective boxes and modifying the information appropriately.
- d. Add an Exception Group(s) if needed by clicking on the Add Exception Group button; see detailed instructions in Section 10.6.14: Sharing Rule—Exception Groups.

Figure 10-83 Pre-Defined Rule Screen

- e. Click the Save button to establish the new rule conditions and add it to the list of established rules in the table on the Rule-Based Sharing screen.

Clicking the Cancel button negates any pre-defined rule creation selections without creating a new rule.

10.6.13 Create New Sharing Rule Using Customize Rule

To create a customized rule, an SDA:

- a. Clicks the New button to display the Pre-defined Rules menu.
- b. Selects the Customize Rule option (by clicking on the rule to highlight it) from the menu to display the Rule Wizard screen (see Figure 10-85 Rule Wizard Screen).

Agency Based Sharing | Rule Based Sharing | Document Sharing Status | Delegated Data Administration

☐ All Data Owners ☒ Selected Data Owner: CJIS DIVISION NDEX

Records are: Online [Change Status](#) [Re-evaluation...](#)

Rule Name	Access	Order	Rule Status	Rule Conditions
juv cases	Yellow	1	Enabled	PersonAge <= 17
AssignedPolicy_2	Yellow	2	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (robbery) AND WitnessAge < 18
AssignedPolicy_3	Yellow	3	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (larceny) AND SubjectAge < 18
AssignedPolicy_4	Red	4	Disabled	ReportType in list (Incident Report) AND OffenseCode in list (assault) AND VictimAge < 18
Victim Sex Assault in Incident			Disabled	ReportType in list (Incident Report)
Submission Tag Red			Disabled	ReportType in list (Incident Report)
Submission Tag Yellow			Disabled	ReportType in list (Incident Report)
Submission Tag Green			Disabled	ReportType in list (Incident Report)
Juvenile In Incident			Disabled	ReportType in list (Incident Report) AND PersonAge < 18

Context Menu for 'Victim Sex Assault in Incident':
[New...](#) [Copy...](#) [Order...](#) [View Groups...](#) [View Conditions...](#)
[Customize Rule](#)

[Show Groups](#)

Figure 10-84 Establishing a Customized Sharing Rule

The Rule Wizard is an N-DEX tool that steps an SDA through creation of customized Rule-Based Sharing, progressing from the initial Rule Basics, through Rule Conditions, Sharing Level for Groups, and Rule Test, to finalizing the new rule using Preview and Save. Using the Rule Wizard, an SDA may select entities (such as offense codes), choose specific values (such as sexual assault), select sharing levels, and order rule precedence to create specific rule conditions.

Using the Rule Wizard, completing Rule Basics (see Figure 10-85 Rule Wizard Screen) begins the customized, new rule process where:

- A descriptive name for the new rule is entered in the Rule Name. An SDA should name the new rule to clearly identify its conditions.
- The Rule Status automatically defaults to Enabled. Clicking the Disabled Radio button  disables the rule in N-DEX.
- The precedence of the rule automatically defaults to the next available precedence order. The Precedence Order can be modified by using the arrow keys in the Order Column. The precedence allows N-DEX to process each rule in a specific order. If more than one rule can be applied to a record, the most restrictive rule will be applied.

Agency Based Sharing | Rule Based Sharing | Document Sharing Status | Delegated Data Administration

[CJIS DIVISION NDEX](#) > [Rule Conditions](#) > [Sharing Level For Groups](#) > [Preview And Save](#)

Rule Name:

Rule Status: ☒ Enabled ☐ Disabled

Rule Name	Order
New Rule	10
Juvenile In Report Rule 3	1
Juvenile In Report Rule 2	2
New RuleExcept	3
PA Rule	4
Juvenile In Report Rule	5
Submission Tag Green Rule	6
Juvenile In Report Rule 4	7
Submission Tag Yellow Rule	8
Submission Tag Green Rule	9

[Back](#) [Next](#) [Preview And Save](#) [Cancel](#)

Figure 10-85 Rule Wizard Screen

An SDA clicks the Next button to display the Rule Condition screen. The Rule conditions or criteria are established on this screen (see Figure 10-86 Rule Conditions Screen).

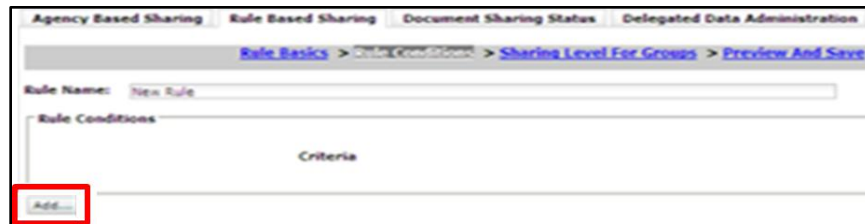


Figure 10-86 Rule Conditions Screen

At least one rule entity, operator and a value must be selected for each customized rule (see Figure 10-86 Rule Conditions Screen). Rule entities, such as “Person Role,” etc. can be selected from the drop down menu accessed by using the down arrow. Operators, such as “In List,” etc. can also be selected by clicking the down arrow in the Operator menu. Values include: Arrest Subject, Enforcement Official, Missing Person, etc. Using the slider bar and/or the arrow keys, an SDA can scroll through the list and make a selection (click to highlight the Values choice).

After selecting the desired rule value(s), an SDA clicks the OK button. The Rule Condition screen with the established criteria is displayed. Multiple conditions can be applied to a single customized rule. After clicking the OK button to set the first rule condition, clicking the Add button displays the Select an Entity, Operator, and Values fields so additional conditions can be specified for the rule shown in the Rule Name field (see Figure 10-86 Rule Conditions Screen). Up to 10 different entity conditions can added to a single rule.

Once all customized rule conditions have been specified, the SDA clicks the Next button to advance to the Sharing Level for Groups process. Clicking the Back button will return the SDA to the previous screen where changes can be made before saving the rule if needed.

For example, Figure 10-87 Rule Condition Details Screen, displays the conditions available using the Person Age entity. The rule entity is Person Role; the operator is In List; and the value is Juror.

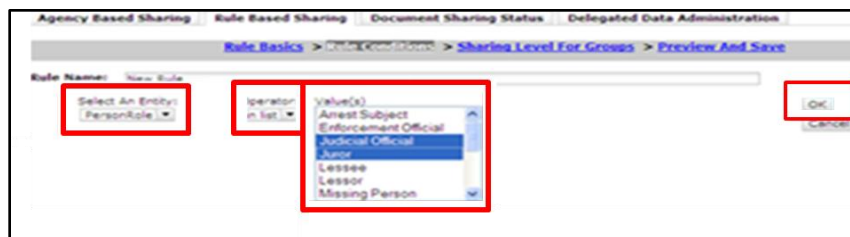


Figure 10-87 Rule Condition Details Screen

Clicking the Cancel button terminates the process, returning the SDA to the N-DEX Rule-Based Sharing screen.

The SDA must establish the sharing level for the customized rule (see Figure 10-89 Sharing Level for Groups—Add an Exception Group). The sharing level is either established for all N-DEX users or by adding exception groups. On the Sharing Level for Groups Screen, to establish the sharing level to be applied to all N-DEX users, the SDA:

- Designates the rule sharing level by checking (clicking) the box beside “Record Level” in the Sharing Level area of the screen.
- Selects either the Green, Yellow or Red Sharing Level button, if the sharing level is not already displayed.
- Clicks the Next or Preview buttons if the rule is to be applied to all N-DEx users.

Figure 10-88 Sharing Level for Groups Link—Sharing Levels

10.6.14 Sharing Rule—Exception Groups

An SDA must create an Exception Group for certain users to be exempt from the sharing rule, and therefore, be able to view the data. To establish an Exception Group, the SDA utilizes the Exception Group area of the Sharing Level for Groups screen (see Figure 10-90 Sharing Level for Groups—Exception Group). The Exception Group area identifies any existing exception groups for the customized rule and the sharing level for that/those group(s).

To add a new exception group for the customized rule, an SDA can either select from a previously established group (an existing SDA-created group or a pre-defined agency type provided by N-DEx) or create a new group (see Figure 10-90 Sharing Level for Groups—Exception Group).

To add an exception group for a sharing rule using a **previously established group**, an SDA:

- Clicks the Add Exception Group button to display the drop down menu (see Figure 10-89 Sharing Level for Groups—Add an Exception Group).
- Clicks the Use Existing Group option to display a drop-down menu of previously established groups (either SDA-created groups or N-DEx pre-defined agency types).
- Selects a group from the menu (clicks to highlight the desired group); clicking on and highlighting a pre-defined exception group will move that group to the Exception Group area.

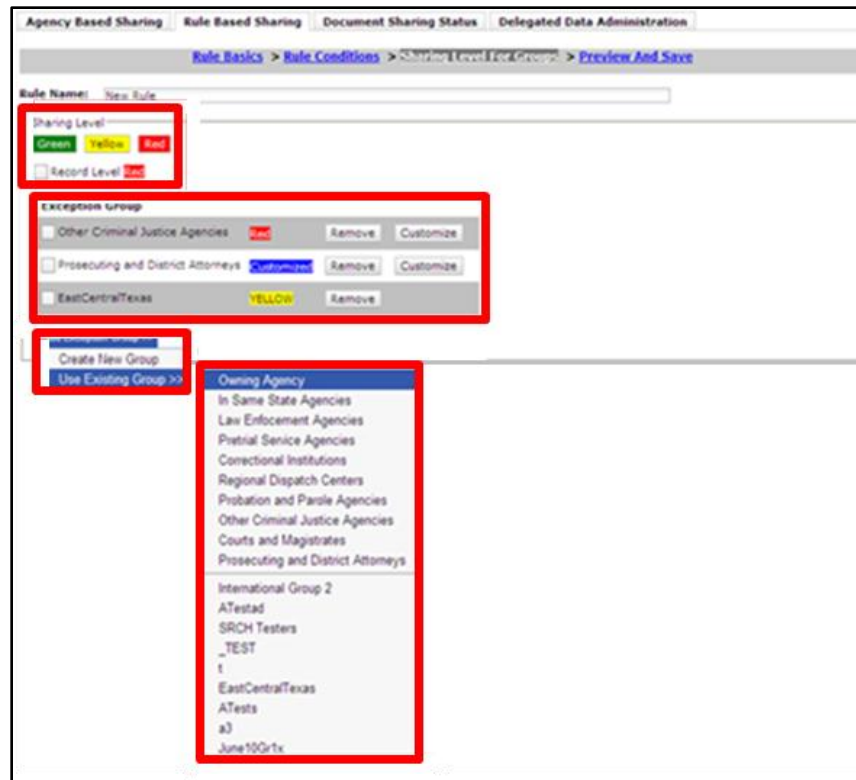


Figure 10-89 Sharing Level for Groups—Add an Exception Group

- d. Clicks the Preview and Save button to save the sharing level (or rule) and apply it to all N-DEX users excepting those users who are members of the exception group.



Figure 10-90 Sharing Level for Groups—Exception Group

For new exception groups, an SDA can create and customize the new group by either agency ORI(s) or by user(s). Each agency can create up to **20 groups, with a limit of 2,000 members**. Only LEO N-DEX users can be added to an exception group.

To add an exception group for a sharing rule **by creating a new group**, an SDA:

- a. Clicks the Add Exception Group button to display the drop down menu (see Figure 10-89 Sharing Level for Groups—Add an Exception Group).
- b. Clicks the Create New Group option to display the Create Group window where the SDA can create and customize the new exception group using either ORI(s) or by user(s) (see Figure 10-91 Sharing Level for Groups—Create New Group).

Figure 10-91 Sharing Level for Groups—Create New Group

- c. Enters a descriptive name for the new group in the Enter Group Name field. An SDA should enter a unique descriptive name which will distinguish the group from other groups created (see Figure 10-92 Create Exception Group Screen).
- d. Selects agencies whose N-DEX users will be members of the new group (see Figure 10-92 Create Exception Group Screen):
 - i. Locates an agency by entering its agency name the Select Agencies field and then clicks the Find by Name button; or enters the agency ORI number (or a partial ORI number) in the ORI field and clicks the Find by ORI button. (The asterisk [*] character can be used as a wildcard (*) when searching for a specific ORI or Agency Name).
 - ii. Selects one or more of the agencies from the list displayed in the Results window by clicking on the agency name to highlight it, and then uses the Add or Add All buttons to move the selection(s) to the Selected Agencies window. After highlighting any agency(ies) in the Selected Agencies window, clicking the Remove button will return that selection(s) to the Results window and not include that agency(ies) in the new group. Clicking the Remove All button returns all selections to the Results window.
- e. Selects N-DEX system users who will be members of the new group (see Figure 10-92 Create Exception Group Screen):
 - i. Locates a desired individual user by entering that user's name the Select Users field and then clicks the Find by Name button; **or** enters the user's N-DEX identification number (if known) in the field and clicks the Find by User ID button; **or** enters the user's agency ORI number in the field and clicks the Find by ORI button. The asterisk (*) character can be used as a wildcard (*) when searching for a specific ORI or system user.
 - ii. Selects one or more of the user names from the list displayed in the Results window by highlighting the user name(s) and uses the Add or ADD All buttons to move the selection(s) to the Selected Users window. Selected Users can be removed by highlighting and clicking the Remove and/or Remove All buttons and therefore, will not be included in the new group.
- f. Clicks the Save button to save selected agencies and/or selected users, and create the new group (see Figure 10-92 Create Exception Group Screen).

Figure 10-92 Create Exception Group Screen

Clicking the Back button returns the SDA to the appropriate screen where changes can be made to the rule, as needed. Clicking the Cancel button deletes the rule. Existing Exception Groups can be removed from the list by checking the box beside the group name to select it and then clicking the Remove button **Remove** (see Figure 10-93 Sharing Level for Groups—Remove Button). Removing the group negates its exception; therefore, the removed group members can no longer view the data.

Figure 10-93 Sharing Level for Groups—Remove Button

10.6.15 Sharing Rule—Exception Groups Customized by State/Territory

Existing Exception Groups can also be further customized at the State and/or U.S. Territory level.

To refine an exception group by State and/or Territory, on the Sharing Level for Groups screen in the Exception Group area, an SDA can:

- a. Click the Customize button to display the Jurisdiction Window (State/Territory) for the rule.

The screenshot shows the 'Sharing Level for Groups' screen. At the top, there are tabs: Search, Subscription, Notification, Collaboration, Data Mgmt, Preferences, and Audit. Below these is a breadcrumb trail: Rule Basics > Rule Conditions > Sharing Level for Groups > Preview And Save. The 'Rule Name' field contains 'New Rule'. Under 'Sharing Level', there are buttons for Green, Yellow, and Red. Below that is a checkbox for 'Record Level' with a 'Red' status. In the 'Exception Group' section, there is a checkbox for 'Correctional Agencies' with a 'Red' status, and a 'Customize' button is highlighted with a red box. At the bottom, there is an 'Add Exception Group >>' button and a row of buttons: Back, Next, Preview And Save, and Cancel.

Figure 10-94 Sharing Level for Groups—Customize Button

- b. Select a State/U.S. Territory by clicking a check box(es) beside a State abbreviation(s) or Territory name(s) (see Figure 10-77 Apply Customized Sharing Rules). The current sharing level for that state/territory is indicated beside its name.
- c. Click the desired Sharing Level button.
- d. Click the Apply button (see Figure 10-95 Exception Group—Jurisdiction Window for State and Territory).
- e. Click the Save button.

The screenshot shows the 'Jurisdiction Window for State and Territory' screen. It has a title bar with tabs: Agency Based Sharing, Rule Based Sharing, Document Sharing Status, and Delegated Data Administration. Below the title bar is a breadcrumb trail: Rule Basics > Rule Conditions > Sharing Level for Groups > Preview And Save. The 'Rule Name' field contains 'New Rule'. Under 'Sharing Level', there are buttons for Green, Yellow, and Red. Below that is a checkbox for 'Record Level' with a 'Green' status. In the 'Exception Group' section, there are checkboxes for 'Other Criminal Justice Agencies' (Red), 'Prosecuting and District Attorneys' (Yellow), and 'EastCentralTexas' (Yellow). The 'Jurisdiction info for Prosecuting and District Attorneys' section is highlighted with a red box. It contains a table with columns for 'States' and 'Territories'. Each entry has a checkbox and a sharing level. The 'Apply' button is highlighted with a red box. At the bottom, there is a row of buttons: Back, Next, Preview And Save, and Cancel.

States	Territories
AL Yellow	Puerto Rico Red
AK Yellow	American Samoa Red
AR Yellow	District of Columbia Green
CA Yellow	Guam Red
CT Yellow	Northern Mariana Yellow
DE Yellow	Federated States of Micronesia Yellow
FL Yellow	Northern Mariana Yellow
GA Yellow	Palestine Yellow
IL Yellow	Virgin Islands Yellow
IN Yellow	
IA Yellow	
KS Yellow	
KY Yellow	
LA Yellow	
MA Yellow	
MD Green	
ME Yellow	
MH Yellow	
MI Yellow	
MN Yellow	
MO Yellow	
MT Yellow	
NC Yellow	
ND Yellow	
NE Yellow	
NH Yellow	
NJ Yellow	
NM Yellow	
NY Yellow	
OH Yellow	
OK Yellow	
OR Yellow	
PA Yellow	
RI Yellow	
SC Yellow	
SD Yellow	
TN Yellow	
TX Yellow	
UT Yellow	
VA Yellow	
WA Yellow	
WV Yellow	
WI Yellow	
WY Yellow	

Figure 10-95 Exception Group—Jurisdiction Window for State and Territory

10.6.16 Rule-Based Sharing—Preview and Save

The last step in the Rule-Based sharing process is Preview and Save (see Figure 10-96 Preview and Save Screen). Preview and Save shows the new rule as it is currently designed by providing an SDA with a summary view. After reviewing the summary of the created rule (i.e., the Rule Name; Rule Status; Rule Conditions; Precedence; Owners the rule is applied to; Record Sharing Level; and groups excepted from the rule), if accurate as created, an SDA should click on the

Save button. The customized rule is now displayed in the Table on the Rule-Based Sharing screen. The customized group is now created and available for future use on the Exception Groups menu.

If the created rule is **not** correct and changes need to be made before it is finalized, the SDA should select the Back button to return to the screen/step in the process where changes are needed. Clicking the Cancel button will delete the rule, terminate the process, and return the SDA to the N-DEx Rule-Based Sharing screen.

Agency Based Sharing | Rule Based Sharing | Document Sharing Status | Delegated Data Administration

[Rule Basics](#) > [Rule Conditions](#) > [Sharing Level For Groups](#) > [Preview And Save](#)

Rule Name: New Rule

Rule Status: Enabled

Rule Conditions: PersonRole in list (Missing Person, Other Involved Person) AND MissingPersonAge < 18

Precedence: 10

Applied To Data Owners: Submitting Agency with 700 data owner agencies

Record Sharing Level: Green

Exception Groups: Other Criminal Justice Agencies (Red), Prosecuting and District Attorneys (Customized), EastCentralTexas (Yellow)

Back Next Save Cancel

Figure 10-96 Preview and Save Screen

10.6.17 Manage Rule-Based Sharing

On the Rule-Based Sharing screen, the SDA can also manage Rule-Based Sharing Rules (see Figure 10-97 Rule-Based Sharing Screen Buttons) including:

- Edit (modify) a Rule.
- Delete a Rule.
- Copy a Rule.
- Order (reorder) the Rule Precedence.
- View Exception Groups.
- View Rule Conditions.
- Show Groups.

Agency Based Sharing | Rule Based Sharing | Document Sharing Status | Delegated Data Administration

☐ All Data Owners ☒ Selected Data Owner: Submitting Agency with 700 data owner agencies

Records are: Online Change Status Re-evaluation...

Rule Name	Access	Order	Rule Status	Rule Conditions
Juvenile In Report Rule 3	Red	1	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
Juvenile In Report Rule 2	Red	2	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
New RuleExcept	Red	3	Enabled	AllDocuments in list (TRUE)
PA Rule	Red	4	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
Juvenile In Report Rule	Red	5	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
Submission Tag Green Rule	Red	6	Enabled	DisseminationCriteria in list (GREEN)
Juvenile In Report Rule 4	Red	7	Enabled	ReportType in list (Incident Report) AND PersonAge < 18
Submission Tag Green Rule 2	Red	9	Enabled	DisseminationCriteria in list (GREEN)

New... Edit... Delete... Copy... Order... View Groups... View Conditions... Show Groups

Figure 10-97 Rule-Based Sharing Screen Buttons

10.6.18 Edit (modify) Rule-Based Sharing Rules

Editing an established rule begins by highlighting the rule to be modified. Once selected, the Edit button is clicked which displays the Rule Wizard (see Figure 10-97 Rule-Based Sharing Screen Buttons). The Rule Wizard steps the SDA through the editing process. The SDA can modify any of the rule conditions as needed. When all steps have been completed, the Save button is clicked to retain the changes to the rule.

10.6.19 Show Groups

In addition, the Show Groups/Hide Groups button displays or hides the exception groups (see Figure 10-98 Rule-Based Sharing—Show/Hide Groups Window). From the My Groups panel an SDA can:

- Create a new group.
- Modify (edit) a group.
- Delete a group.
- Copy a group.

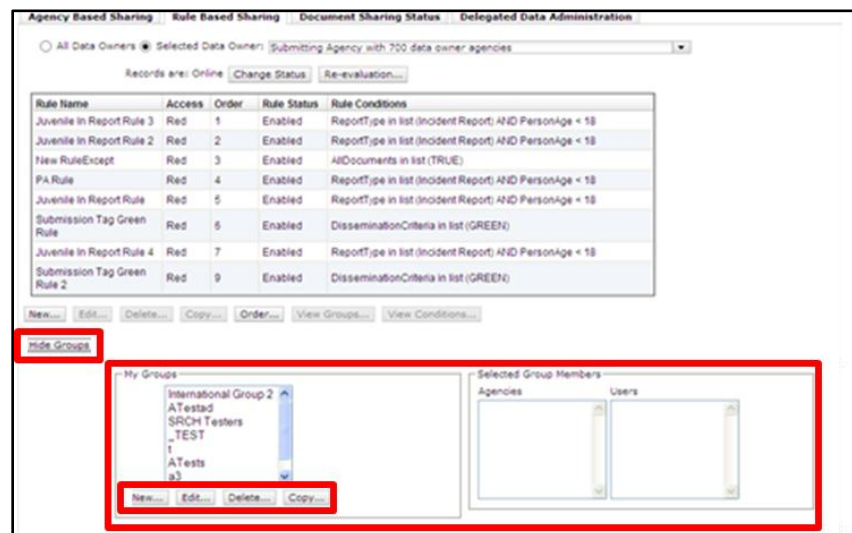


Figure 10-98 Rule-Based Sharing—Show/Hide Groups Window

10.6.20 Re-Evaluation Process

In order to apply any newly established rule to an agency's existing records in N-DEX, the SDA must initiate a re-evaluation process. The only time re-evaluation does not have to be performed is when the agency is setting its rules for the first time before any data is initially ingested. Otherwise, the re-evaluation process must be run every time sharing rules are modified. It is recommended an SDA change the status of all records to "offline" during the re-evaluation process. When the agency's (ies') records are offline, those records are **not** available. In an offline status, N-DEX can apply the new or modified sharing rules prior to the records being included in entity correlations or returned as a result of any search.

To change the status of all records to offline, the SDA must click the Change Status button on the Rule-Based Sharing screen.

During the re-evaluation process, it should also be noted that new sharing rules **cannot** be established or current rules modified.

To start the re-evaluation process, the SDA:

- a. Clicks on the Re-evaluation button to display the Schedule Re-evaluation dialog window.
- b. Specifies a re-evaluation Start Date by:
 - i. Clicking the Now Radio button to immediately begin the re-evaluation.

OR

- ii. Clicking the Start Date Radio button and entering a re-evaluation beginning date. The down arrow can be utilized to display a calendar where the start date can be selected (once clicked that date populates the field).
- c. Clicks the Take Records Offline during the Re-evaluation. It is not mandatory for records to be taken offline, however, it is highly recommended.
- d. Clicks the Continue button (see Figure 10-99 Schedule Re-Evaluation Screen). Once selected, the re-evaluation request will be processed. When the re-evaluation process has begun, no agency records will be available through the N-DEX search function. If the records are taken offline, the SDA is provided a status of the re-evaluation. The Records are: indicates either Online or Offline. If the records are not taken offline, the SDA will not be aware of the status.

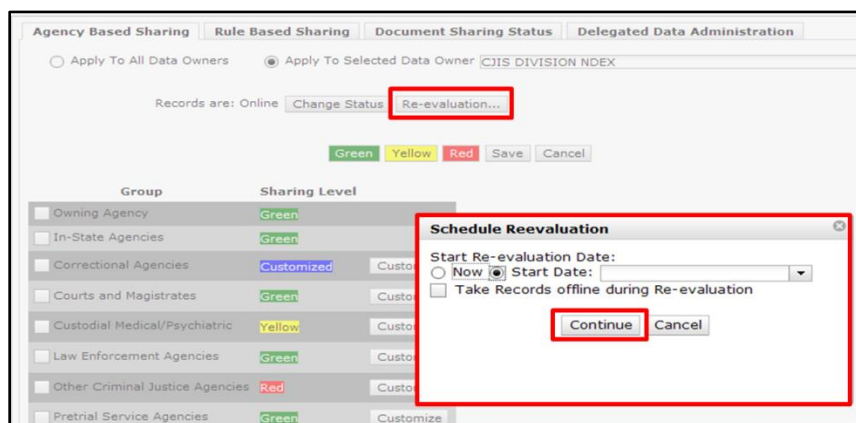


Figure 10-99 Schedule Re-Evaluation Screen

Clicking the Cancel button negates any selections made and abandons the re-evaluation action. The jurisdiction window closes and the SDA is returned to the Agency-Based Sharing screen. The Schedule Re-evaluation window can also be closed by clicking the Close icon  on the window title bar.

10.6.21 Document Sharing Status

The Document Sharing Status sub-tab facilitates modifying the sharing rules for selected individual records regardless of whether a sharing rule has been previously applied (see Figure 10-100 Document Sharing Sub-Tab). Clicking the Document Sharing sub-tab displays the Document Specific Restrictions screen.

10.6.22 Record Retrieval

Records may be retrieved by submission date, record ID or documents with Overwritten Sharing.

Document Specific Restrictions

Retrieve: **Records By Date**
Records By ID
Documents With Overwritten Sharing

Record ID: test-jmr

Displaying 10 results per page [change](#) 1 - 0 Total: 1

Record ID	Record Level	Exception Groups?	Applied Rule	Expiration Date	Reevaluate On Expiration?	Overwritten?	Edit	Remove Overwrite
Test-jmr	Green	No			No	No		

Figure 10-100 Document Sharing Sub-Tab

If retrieving records by date, the SDA selects the beginning date (and time) and ending date (and time) to establish the date range for desired records. To retrieve the record, choose the method of record retrieval and enter in the start-end range of information for the selection. Selecting the Retrieve button initiates the retrieval (see Figure 10-101 Document Specific Restrictions—Retrieve Records by Date).

Document Specific Restrictions

Retrieve: **Records By Date** Start: 12/1/2012 12:00 AM End: 12/26/2012 11:59 PM

Records By Date
Records By ID
Documents With Overwritten Sharing

Figure 10-101 Document Specific Restrictions—Retrieve Records by Date

If retrieving records by Record ID, the SDA selects Records by ID from the retrieve menu then enters the record identification number for the desired record in the Record ID field. Selecting the Retrieve button initiates the retrieval (see Figure 10-102 Document Specific Restrictions—Retrieve Records by ID).

Document Specific Restrictions

Retrieve: **Records By ID** Record ID: test-jmr

Displaying 10 results per page [change](#) 1 - 0 Total: 1

Record ID	Record Level	Exception Groups?	Applied Rule	Expiration Date	Reevaluate On Expiration?	Overwritten?	Edit	Remove Overwrite
Test-jmr	Green	No			No	No		

Figure 10-102 Document Specific Restrictions—Retrieve Records by ID

If retrieving records by Documents with Overwritten Sharing, the SDA selects that option from the Retrieve menu.

Data Retrieval Results based on the retrieval criteria are displayed on an interactive table (see Figure 10-103 Document Sharing Status Retrieval Results).

Selections available in this table are:

- Record ID.
- Record Level.
- Show Exception Groups?
- Show Applied Rule.
- Whether or not the sharing rule(s) has/have been Overwritten for each record displayed.
- Edit the sharing rules for each individually displayed record.
- Remove Overwrite and restore the record to the original sharing rule.

08/10/2011 12:00 AM to 09/07/2011 11:59 PM

Displaying 10 results per page: [change](#)

1 - 10 Total: 58

Record ID	Record Level	Exception Groups?	Applied Rule	Overwritten?	Edit	Remove Overwrite
AcDeleteTest2	Green	No		No		
ACL_SimpleSearch_Closed_Mugshot	Green	No		No		
ACL_Operator_AND_AltOS	Yellow	Yes		No		
ACL_SimpleSearch_Reopened	Green	No		No		
5507001005	Green	No		No		
ACL_Operator_AND_NoPropertyType_Aircraft	Yellow	Yes		No		
ACL_Operator_AND_AltOK	Yellow	Yes		No		
ACL_SimpleSearch_Closed	Green	No		No		
ACL_Reveal_Report_Type_Arrest	Green	No		No		
ACL_SimpleSearch_Open	Green	No		No		

Sharing Level Editor

Record ID:

Restrictions: Record Level:

Exception Groups:

Exception Group: ☐ Regional Dispatch Centers Green

☐ Courts and Magistrates Yellow

☐ a3 Yellow

Figure 10-103 Document Sharing Status Retrieval Results

Clicking the Edit icon  allows the SDA to use the Sharing Level Editor (see Figure 10-104 Document Sharing Status Sharing Level Editor) to make modifications to the selected record, including modifying the record's sharing level, and/or adding or removing an exception group.

Manual Record | Data Admin | Sharing Policy | Reports

Agency Based Sharing | Rule Based Sharing | Document Sharing Status | Delegated Data Administration | Sharing Code Administration

Document Specific Restrictions

Retrieve: Record ID:

Displaying 10 results per page: [change](#)

1 - 0 Total: 1

Record ID	Record Level	Exception Groups?	Applied Rule	Expiration Date	Reevaluate On Expiration?	Overwritten?	Edit	Remove Overwrite
Test-jmr	Green	No			No	No		

Sharing Level Editor

Record ID:

Restrictions: Record Level: Reevaluate on Expiration:

Exception Groups:

Exception Group: ☐ Regional Dispatch Centers Red

Figure 10-104 Document Sharing Status Sharing Level Editor

10.6.23 Overwriting the Sharing Level for the Entire Record

Using the Sharing Level Editor, the SDA can modify the applied sharing rule for a record. In the record results, the SDA can select a record by clicking on the Record ID to highlight it. After selecting a record, clicking the Edit icon  displays the Sharing Level Editor. The selected record will be displayed in the Record ID field.

In the Restrictions box, the SDA clicks the Record Level down arrow to display the sharing level menu. On the menu, a new sharing level can be selected by clicking the desired level: Green, Yellow or Red (see Figure 10-105 Overwrite Sharing Level for Entire Record).

Once the sharing level is selected, the SDA must click the Save icon  to finalize the record sharing level overwrite. The Record ID with the newly applied sharing rules will display in the Document Specific Restrictions screen.

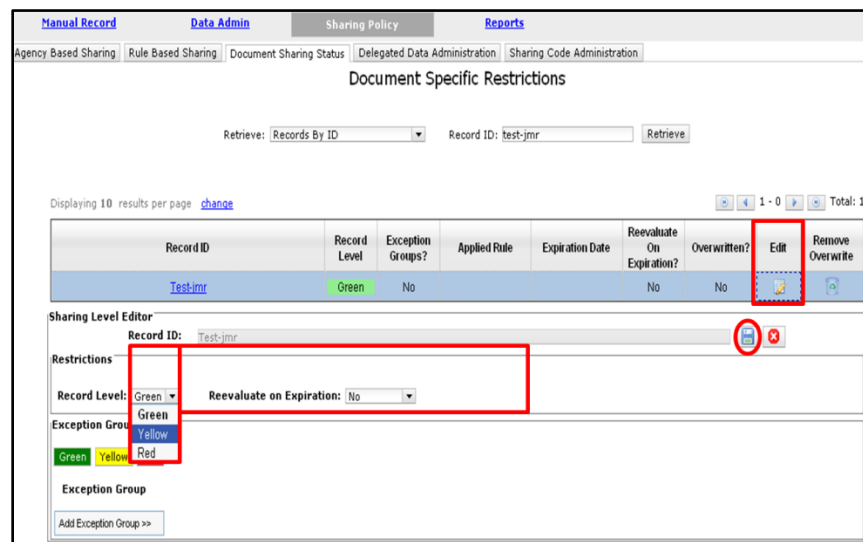


Figure 10-105 Overwrite Sharing Level for Entire Record

10.6.24 Overwriting the Sharing Level for an Existing Exception Group

To modify an Exception Group, the SDA should verify the applied sharing rule(s) and exception group(s). The Exception Groups? column in the retrieval results indicates whether or not an exception group(s) exists for a particular Record ID. If an exception group exists for a record, it may be selected and the sharing level modified for that existing group.

In the record results, the SDA can select a record by clicking on the Record ID to highlight it.

After selecting a record, clicking the Edit icon  displays the Sharing Level Editor. The selected record will be displayed in the Record ID field (see Figure 10-107 Overwrite Sharing Level for Exception Groups—Existing Group Menu).

Figure 10-106 Overwrite Sharing Level for Exception Groups

In the Exception Groups box, the SDA:

- Clicks the Add Exception Groups button to display menu options (either Create New Group or Use Existing Group).
- Clicks Use Existing Group option to display a list of existing Exception Groups (see Figure 10-107 Overwrite Sharing Level for Exception Groups—Existing Group Menu).

Figure 10-107 Overwrite Sharing Level for Exception Groups—Existing Group Menu

- Selects an exception group by clicking on the group name which will display that group in the Exception Groups box.
- Clicks in the box to the left of the exception group name to place a check mark in that box and select the group.
- Selects the appropriate sharing level (see Figure 10-108 Overwrite Sharing Level for Exception Groups—Exception Groups Box).
- Clicks the Save icon  to retain the edits.

Agency Based Sharing | Rule Based Sharing | Document Sharing Status | Delegated Data Administration | Sharing Code Administration

Document Specific Restrictions

Retrieve: Records By ID | Record ID: test-jmr | Retrieve

Displaying 10 results per page: [change](#) | 1 - 0 | Total: 1

Record ID	Record Level	Exception Groups?	Applied Rule	Expiration Date	Reevaluate On Expiration?	Overwritten?	Edit	Remove Overwrite
Test-jmr	Green	No			No	No		

Sharing Level Editor

Record ID: [Test-jmr](#) |

Restrictions

Record Level: Green | Reevaluate on Expiration: No

Exception Groups

Green Yellow Red

Exception Group

☒ FBI ONLY Red Remove

Add Exception Group >>

Figure 10-108 Overwrite Sharing Level for Exception Groups—Exception Groups Box

The Record ID with the newly applied sharing rules will display in the Document Specific Restrictions screen.

Clicking on the Remove button (located to the right of the specific exception group name) will delete that group.

10.6.25 Overwriting the Sharing Level for a New Exception Group

An SDA can establish a new group and set a sharing level for that new group for a specific record utilizing the Document Sharing Status tab. Using the tab, the Document Specific Restrictions page displays where the SDA will retrieve the record. The retrieval result displays information about the document's restrictions, including its current sharing rules (see Figure 10-109 Document Specific Restrictions Screen—Document's Current Sharing Level).

Search | Subscription | Notification | Collaboration | Data Mgmt | Preferences | Audit | Batch Query

Manual Record | Data Admin | Sharing Policy | Reports

Agency Based Sharing | Rule Based Sharing | Document Sharing Status | Delegated Data Administration | Sharing Code Administration

Document Specific Restrictions

Retrieve: Records By ID | Record ID: test-jmr | Retrieve

Displaying 10 results per page: [change](#) | 1 - 0 | Total: 1

Record ID	Record Level	Exception Groups?	Applied Rule	Expiration Date	Reevaluate On Expiration?	Overwritten?	Edit	Remove Overwrite
Test-jmr	Green	No			No	No		

Figure 10-109 Document Specific Restrictions Screen—Document's Current Sharing Level

In order to add a new exception group, whose members will be able to view the document, the SDA must:

- Click the Edit button.
- Click on the Add Exception Groups button to the display menu (either Create New Group or Use Existing Group).
- Select the Create New Group menu option to establish the new exception group.

- d. Save the new exception group by clicking the Save icon .

Once the new exception group is created and saved, and it is displayed in the Exception Groups box, the SDA can set the sharing level for the document for the new group by:

- Clicking in the box to the left of the exception group name to place a check mark in that box and select the group.
- Selecting the appropriate sharing level.
- Clicking the Save icon  to establish the new exception group and its sharing level for that specific document.

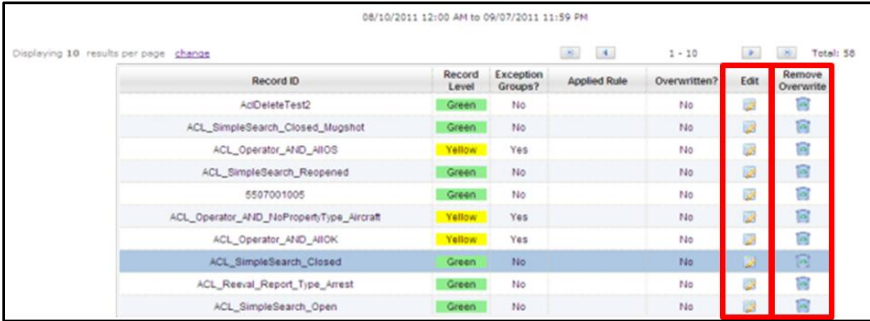
The Record ID will display in the Document Specific Restrictions screen and Yes will appear in the Exception Groups? column, indicating that an exception group exists for that document.

Clicking on the Remove button  (located to the right of the specific exception group name) will delete that group.

10.6.26 Removing an Overwritten the Sharing Policy

The Overwritten? column shows whether or not the broader sharing rule has been modified for a particular record. If a record's sharing level has been overwritten a "Yes" will appear in the "Overwritten?" column of that record in the retrieval results.

The modified sharing rule can be removed for the selected record by clicking on the "trashcan" icon  in the Remove Overwrite column (see Figure 10-110 Document Sharing Status—Remove Overwritten Sharing Policy).



Record ID	Record Level	Exception Groups?	Applied Rule	Overwritten?	Edit	Remove Overwrite
AcDeleteTest2	Green	No		No		
ACL_SimpleSearch_Closed_Mugshot	Green	No		No		
ACL_Operator_AND_AIOS	Yellow	Yes		No		
ACL_SimpleSearch_Reopened	Green	No		No		
5507001005	Green	No		No		
ACL_Operator_AND_NoPropertyType_Aircraft	Yellow	Yes		No		
ACL_Operator_AND_AIOK	Yellow	Yes		No		
ACL_SimpleSearch_Closed	Green	No		No		
ACL_Reeval_Report_Type_Arrest	Green	No		No		
ACL_SimpleSearch_Open	Green	No		No		

Figure 10-110 Document Sharing Status—Remove Overwritten Sharing Policy

A dialog window displays and the SDA must confirm the overwritten sharing rule should be removed (see Figure 10-111 Sharing Rule Overwrite Screen).

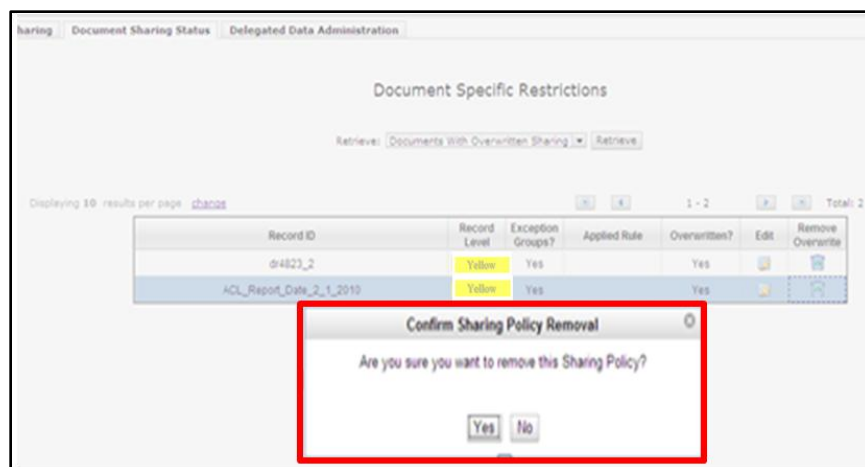


Figure 10-111 Sharing Rule Overwrite Screen

If the SDA selects the Yes button, the sharing policy will be removed for the selected record. A second dialog window will display stating that the sharing policy is being removed. Once removed, the Document Specific Restrictions screen will display the Record ID with its original sharing policy shown in the Record Level column. “No” will appear in the Overwritten? column. If another pre-existing, broader sharing rule applies to the record, however, it will be displayed in the Record Level box.

If the SDA selects the No button, the removal action is canceled, and the SDA is returned to the previous screen.

10.6.27 Delegated Data Administration

While an SDA is responsible for managing data sharing rules for an agency that is both the data owner and submitting agency, he/she may also be responsible for data submission for other data owner agencies. However, there may be situations in which the data owning agency wishes to maintain its own sharing rules through its own SDA rather than through the submitting agency.

Delegated Data Administration provides the mechanism to transfer maintenance of data sharing rules to the data owner’s SDA. If rights have been delegated, Delegated Data Administration is also used to transfer such rights back to the submitting agency.

10.6.28 Delegate Data Administration

The Delegated Data Administration screen provides submitting agency SDAs with the ability to delegate data sharing rule administrative rights to a managed agency(ies). It lists currently Managed Agencies and Delegated Agencies.

To delegate sharing policy authority to a current Managed Agency (see Figure 10-112 Delegated Data Administration Screen), the SDA must:

- Highlight the agency on the Managed Agencies list.
- Click the Add button to display the selected agency name/ORI number in the Delegated Agencies field (once an SDA role has been established for the agency, the agency will have the SDA privileges over its own N-DEx data sharing rules).
- Select the Submit button that displays a dialog window with summary Status Results of the delegations.

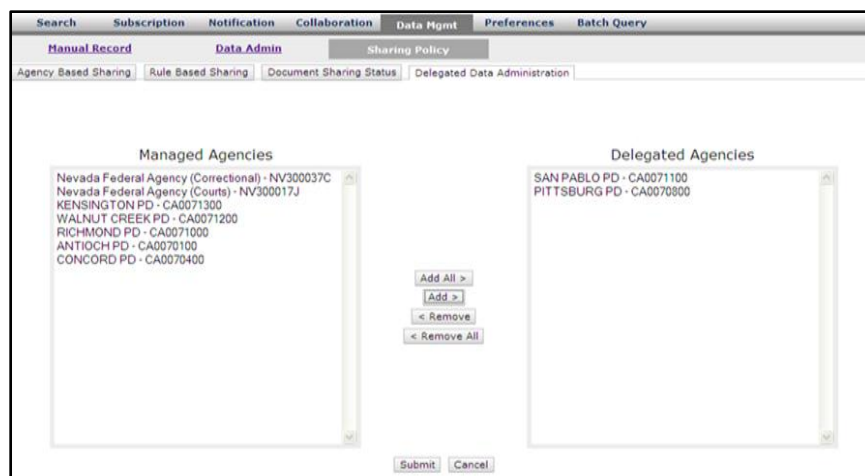


Figure 10-112 Delegated Data Administration Screen

10.6.29 Return Delegated Data Administration

A Delegated Agency may wish to return its sharing policy management to its submitting agency. To return the SDA delegation, the Delegated SDA uses the Delegated Data Administration screen. The Delegated SDA:

- Chooses the Delegate Sharing Policy Management button that returns sharing policy management back to the submitting agency, which displays a Confirm Delegation dialog window.
- Confirms if the delegation of sharing policy privileges is to be returned to the submitting agency by selecting the Confirm button which completes the transfer (see Figure 10-113 N-DEX Sharing Policy—Return Sharing Policy Privileges).

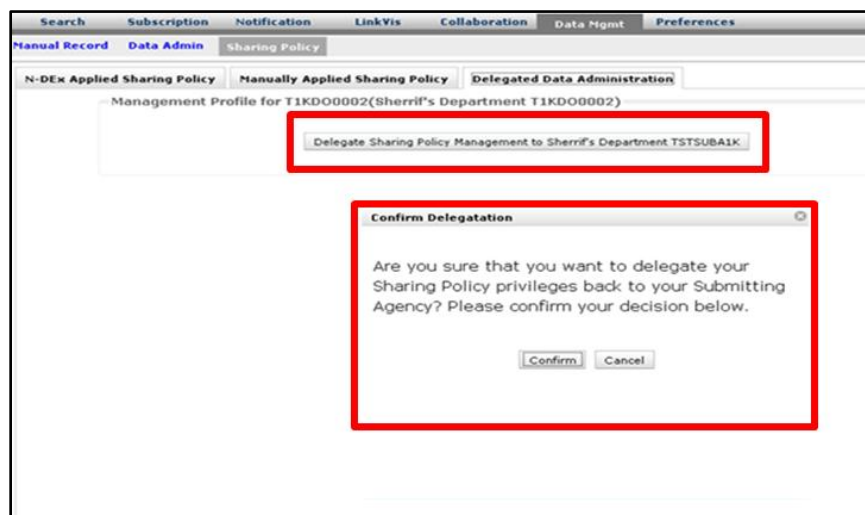


Figure 10-113 N-DEX Sharing Policy—Return Sharing Policy Privileges

Delegated SDAs without the right to manage sharing rules will get a warning message when they choose the N-DEX Applied Sharing Policy sub-tab (see Figure 10-114 No Right to Create Sharing Rules Notice).

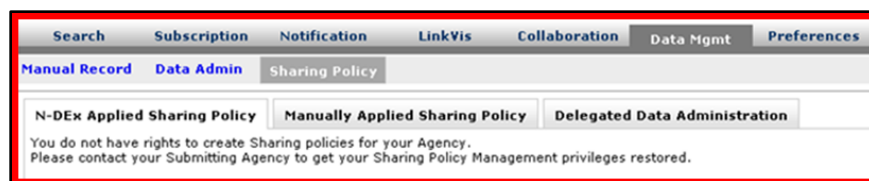


Figure 10-114 No Right to Create Sharing Rules Notice

10.6.30 Submitting Data to N-DEX

When a CJA begins participating in N-DEX, it is given several choices for data submission. Those choices include:

- a. **Automated Submission:** Data are transferred via system communication from the sending system (either from state/regional or from the data owner) to N-DEX. The data are provided via various data transfer means such as the CJIS Wide Area Network (WAN), File Transfer Protocol (FTP), Digital Versatile Discs (DVDs), Compact Discs (CDs), or Universal Serial Bus (USB) hard drives. There are two types of automated submission:
 - i. **Batch Submission:** The collected data/report(s) are sent to N-DEX as a batch. This process is typically developed in cooperation with the agency's RMS vendor or IT personnel.
 - ii. **Web Services Submission:** The agency's RMS or data collection system prepares packets of data which are sent to N-DEX throughout the day. Web services allow different applications from different sources to communicate with each other. It is a specific type of data transfer with the potential for submitting changes as they happen in the RMS or data collection system.
- b. **Manual Data Submission:** The SDA or the delegated SDA can create manual records. This function is available on the Data Management Menu where data can be manually entered into N-DEX. This type of submission can be useful in a variety of situations but is especially beneficial for any agency that does not have an RMS. There may be occasions where an agency needs the flexibility of a manual data entry submission and the ability to directly modify the record in N-DEX.

10.6.31 Retrieve, View, and Delete an Automated Record

To view or delete an automatically submitted record, the SDA must first retrieve the record. There are two methods to search for and retrieve an automatically submitted record: by using a date and time range or by Record ID.

Records that have been automatically submitted (by Batch or Web Services submission) can be viewed and deleted by the SDA but cannot be modified manually. The SDA must submit a new version of the record containing all changes or updates to replace the previous document.

10.6.32 Retrieve an Automated Record by Date/Time

To retrieve an automated record by date and/or time, the SDA utilizes the following steps:

- a. Access the Data Administration Menu screen by clicking the Data Mgmt tab and then clicking the Data Admin sub-tab (see Figure 10-115 Data Administration Menu Screen).

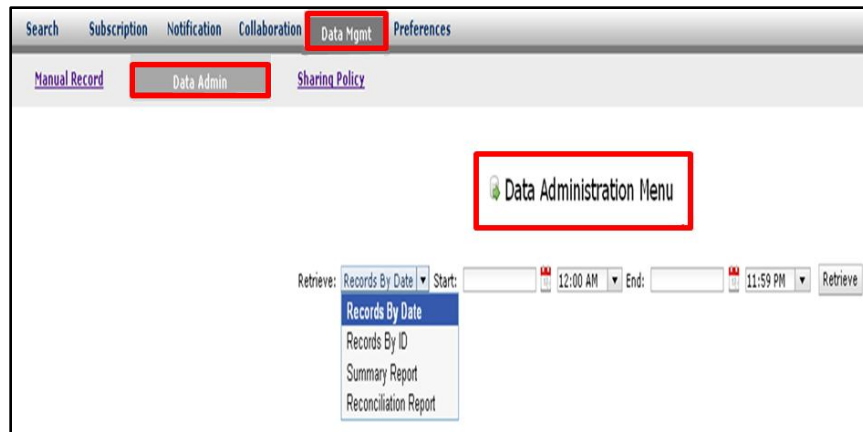


Figure 10-115 Data Administration Menu Screen

- b. Click the down arrow to display the retrieval menu.
- c. Select the Records by Date option (see Figure 10-115 Data Administration Menu Screen).
- d. Enter a range of dates in the Start and End fields (mandatory) by clicking the calendar icon  and selecting a date(s) (see Figure 10-116 Retrieve by Date—Calendar).
- e. Enter any applicable times (if desired) to create a time range in the Time fields by clicking the down arrow(s) and selecting a start time and an end time from the menu(s).
- f. Click the Retrieve button (see Figure 10-116 Retrieve by Date—Calendar).

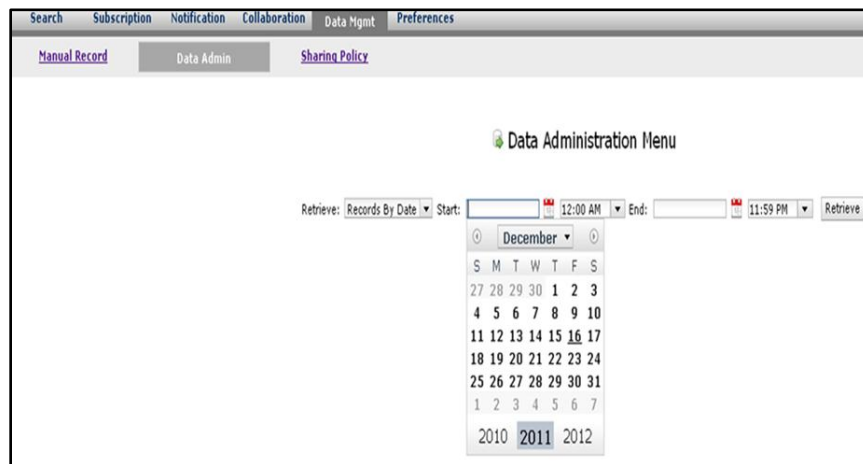


Figure 10-116 Retrieve by Date—Calendar

10.6.33 Retrieve an Automated Record by Record ID

A Record ID number is assigned by the submitting agency to identify each record. The number can be used to retrieve the record in N-DEX. To retrieve an automated record by Record ID, the SDA utilizes the following steps:

- a. Access the Data Administration Menu screen by clicking the Data Mgmt tab and then clicking the Data Admin sub-tab.
- b. Click the down arrow to display the retrieval menu.
- c. Select the Records by ID option from the menu (see Figure 10-115 Data Administration Menu Screen).

Search Subscription Notification Collaboration Data Mgmt Preferences

Manual Record Data Admin Sharing Policy

Data Administration Menu

Retrieve: Records By ID Record ID: Retrieve

Figure 10-117 Retrieve by Record ID

- d. Enter the Record ID number in the Record ID field (see Figure 10-117 Retrieve by Record ID).
- e. Click the Retrieve button.

10.6.34 Retrieval Results

Using either retrieval method will produce a set of results containing records which match the retrieval search criteria (either date/time or record ID). After the SDA clicks the Retrieve button, the Data Retrieval Results displays (see Figure 10-118 Data Retrieval Result Screen). It provides a list of records with Record ID, Report Type, Submission Time and Submission Type Agency information for each.

Data Administration Menu

Retrieve: Records By Date Start: 9/1/2010 12:00 AM End: 9/15/2010 11:59 PM Retrieve

Data Retrieval Results

Displaying 10 results per page change 1 - 10 Total: 49

Record ID	Report Type	Submission Time	Submission Type
20081101747	Incident Report	09/15/2010 10:15:59	F
arrest27	Incident Report	09/15/2010 02:11:06	F
arrest27	Incident Report	09/15/2010 04:38:55	F
MPD23326	Incident Report	09/15/2010 03:49:45	F
20090303956	Incident Report	09/15/2010 02:59:52	F
arrest27	Incident Report	09/15/2010 02:21:27	F
arrest27	Incident Report	09/15/2010 02:17:41	F
arrest27	Incident Report	09/15/2010 02:07:45	F
8765	Incident Report	09/15/2010 03:10:41	M
MARKTEST04	Incident Report	09/15/2010 11:44:41	F

Delete Records Close

Figure 10-118 Data Retrieval Result Screen

10.6.35 View a Record

On the Data Administration Menu screen, after the data retrieval results are displayed; see steps detailed in Section 10.6.32: Retrieve an Automated Record by Date/Time; to view a record the SDA:

- a. Highlights the desired record on the list by clicking on the Record ID number to produce the Record Details screen (see Figure 10-119 Data Administration Menu Record Details Screen).
- b. Views the record.
- c. Clicks the Back to Data Retrieval Results button to return to the Data Retrieval Result screen.

Data Administration Menu

Retrieve: Records By Date Start: 9/1/2010 12:00 AM End: 9/15/2010 11:59 PM Retrieve

[back to Data Retrieval Results](#)
view the original record x

Record Details

Reference ID: MARKTEST04 Report GUID: 06cf3d91-2de9-4366-817f-20c9dc09c3d3 Contract All Expand All

Incident Information

Report Date: 2000-10-03 09:15:00.02
Incident Begin Date: 2000-10-03 09:00:00.02
Incident End Date: 2000-10-03 09:20:00.02
Data Item Status: Valid as of 2000-10-02
Activity Status: Open as of 2000-10-10
Incident Number: 3004

Incident Location

Street: 15 Mountainview Rd
City: Frostbite Falls
State/Zip: MN

Incident Circumstances/Bias

Incident Description

Firearm Information

Vehicle Information

Associated Persons (3)

Associated Locations (4)

Associated Activities

Associated Organizations

Related Links

Figure 10-119 Data Administration Menu Record Details Screen

10.6.36 Delete a Record

On the Data Administration Menu screen, after the data retrieval results are displayed; see steps detailed in Section 10.6.32: Retrieve an Automated Record by Date/Time; to delete a record the SDA:

- Highlights the desired record on the list by clicking on the Record ID number.
- Clicks the Delete Records button which displays the Confirm to Delete Records! dialog window (see Figure 10-120 Data Retrieval Results—Delete Records Confirmation).

Data Administration Menu

Retrieve: Records By Date Start: 9/1/2010 12:00 AM End: 9/15/2010 11:59 PM Retrieve

Data Retrieval Results

Displaying 10 results per page change 1 - 10 Total: 49

Record ID	Report Type	Submission Time	Submission Type
20081101747	Incident Report	09/15/2010 10:15:59	F
arrest27	Incident Report	09/15/2010 10:15:59	F
arrest27	Incident Report	09/15/2010 10:15:59	F
MPD23326	Incident Report	09/15/2010 10:15:59	F
20090303956	Incident Report	09/15/2010 10:15:59	F
arrest27	Incident Report	09/15/2010 10:15:59	F
arrest27	Incident Report	09/15/2010 10:15:59	F
arrest27	Incident Report	09/15/2010 10:15:59	F
arrest27	Incident Report	09/15/2010 10:15:59	F
9765	Incident Report	09/15/2010 10:15:59	M
MARKTEST04	Incident Report	09/15/2010 11:44:41	F

Confirm To Delete Records!

Do You Want to Delete the Selected Records?

OK Cancel

Delete Records

Close

Figure 10-120 Data Retrieval Results—Delete Records Confirmation

- c. Clicks the OK button to delete the record (Note: clicking the Cancel button aborts the deletion process and returns the SDA to the previous screen).
- d. Receives a dialog window with a message from the web page advising that the deletion was successful and the total number of records which were deleted (see Figure 10-121 Record Deletion Confirmation).

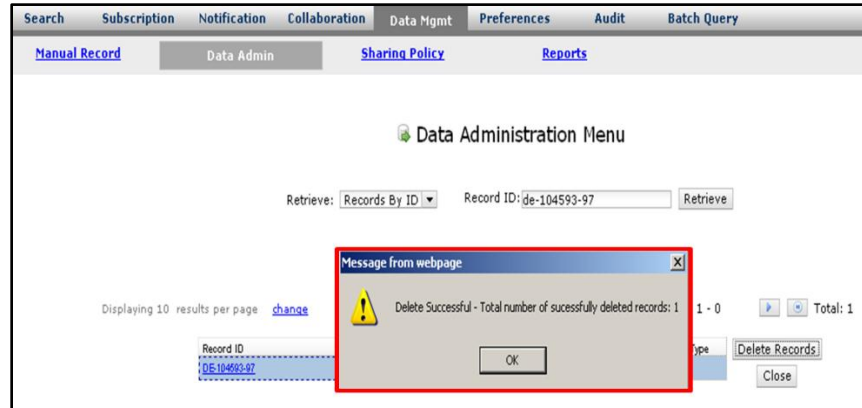


Figure 10-121 Record Deletion Confirmation

The SDA can always verify that the record was successfully deleted by performing a search for the deleted record using the Retrieve by Record ID menu option and entering the deleted Record ID in the Record ID field. The results of the search should return a dialog window with a message advising, “No data records were found by that Record ID” (see Figure 10-122 No Records Found Message).

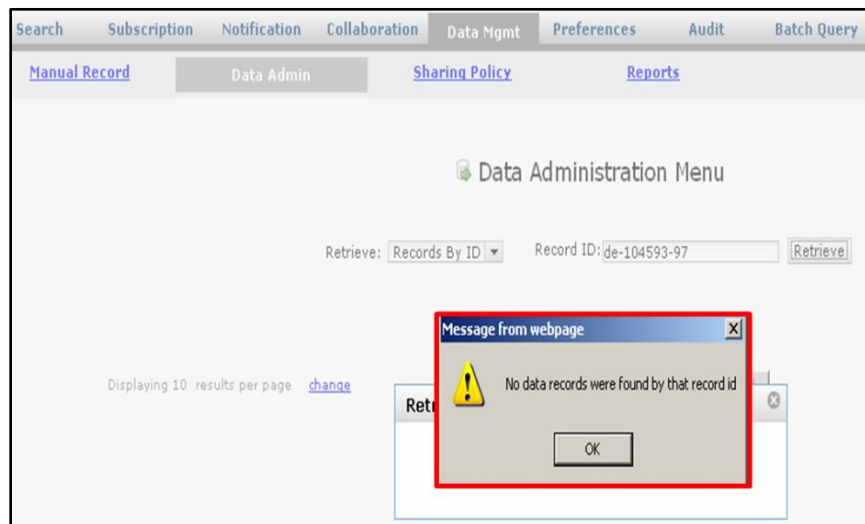


Figure 10-122 No Records Found Message

Clicking the Close button (see Figure 10-120 Data Retrieval Results—Delete Records Confirmation) will clear the Data Retrieval Results and return the SDA to the Data Administration Menu (see Figure 10-115 Data Administration Menu Screen).

10.6.37 Submit a Record Using Manual Entry

An agency's SDA can create or enter an incident report online within N-DEx through manual data entry and submit it. This capability is useful for an agency that does not have a RMS, or has data that it wishes to submit under exigent circumstances such as an Amber Alert notice or a terroristic activity. In the case of exigent circumstances, the state/regional N-DEx SDA (who is authorized to enter data manually into N-DEx) should be contacted.

Only the SDA has administrative access to its agency's N-DEx data based upon the role designation. An SDA cannot change or delete the information of another agency unless that agency designates the SDA to take such action. For instance, a submitting agency SDA can modify the information of an owning agency. This typically occurs with a regional system, where one SDA submits information on behalf of a group of agencies/departments.

The SDA has access to the Manual Record Menu (see Figure 10-123 Manual Record Menu Screen—Create New Record). From the Manual Record sub-tab, an SDA can add, retrieve, view, delete or modify records which have been submitted through manual data entry submission.

10.6.38 Create a New Record

To manually create an incident report through N-DEx online entry, the SDA:

- Clicks the Data Mgmt tab (see Figure 10-123 Manual Record Menu Screen—Create New Record).
- Clicks on Manual Record sub-tab to display the Manual Record Menu screen.
- Clicks the down arrow in the Record: area to display menu options.
- Selects Create New Record from the menu (see Figure 10-123 Manual Record Menu Screen—Create New Record).
- Clicks in the Record ID: to activate the field.
- Enters the record's Record ID number (the number assigned by the submitting agency as the record identifier).
- Clicks the Create button which displays the Incident Report screen where the previously entered Record ID is displayed and the Report Date/Time defaults to the current date/time (see Figure 10-124 Incident Report Screen).

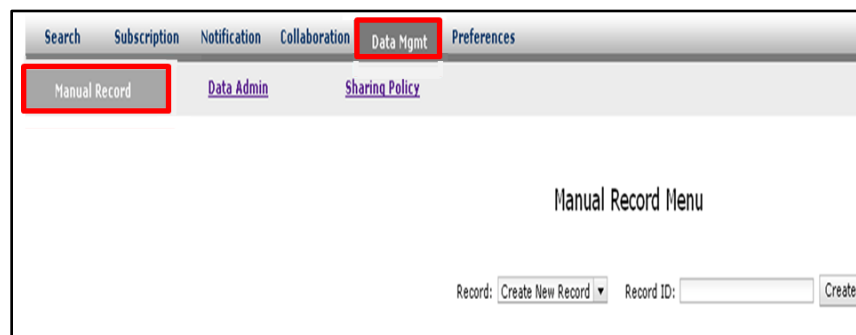


Figure 10-123 Manual Record Menu Screen—Create New Record

- Clicks the down arrow in the Access Restriction field and selects the appropriate data sharing level to be assigned to the record (see Figure 10-124 Incident Report Screen).
- Clicks the down arrow in the Record Status field and selects the appropriate record status to be assigned to the record (see Figure 10-124 Incident Report Screen).

- j. Enters manually any of the following sets of data information which exists in the agency's record in the corresponding online fields:
- Officer/Agency Info.
 - Incident Info.
 - People.
 - Service Call.
 - Property.
 - Cyber Crime.

Figure 10-124 Incident Report Screen

To add detailed information to the incident report, the SDA can:

- Click on the Maximize button located on the right side of each field (see Figure 10-124 Incident Report Screen). For instance, clicking the Maximize button for the Officer/Agency Info data set field will open its data entry screen so record information can be entered (see Figure 10-125 Officer/Agency Details—Data Entry Screen). Use this same step to add other types of data to the record such as Incident Info, People, Service Call, Property, and Cyber Crime).
- Click on the Preview button to see a detailed view of the record (see Figure 10-125 Officer/Agency Details—Data Entry Screen).

OR

- Click the Save button after entering information in the respective online fields to save the record if it is not ready to be submitted to N-DEx (see Figure 10-125 Officer/Agency Details—Data Entry Screen). A draft of the record will be entered into the database but not submitted; however, it can be re-visited, additional information entered, and the record submitted at a later time.

OR

- Click the Submit button (if all available data from the agency's record have been entered into the N-DEx online form) to submit the record directly into N-DEx (see Figure 10-125 Officer/Agency Details—Data Entry Screen).
- Close the window to return to the Manual Record Menu screen by clicking the Close button (see Figure 10-125 Officer/Agency Details—Data Entry Screen).

Incident Report
(*) indicates required field

Record ID(*) 12345 Report Date/Time(*) 5/17/2011 12:00 AM Access Restriction Green Record Status Open

Officer/Agency Info

Agency POC
Name: * E-Mail: (*) Phone #: (*)
First Middle Last format: xxx-xxx-xxxx

Reporter/Officer
Badge #: (*) Name: (*) Phone #: (*)
First Middle Last format: xxx-xxx-xxxx

other officers * (click to show/hide other officers) ✕
Add Other Officer

Incident Info
Click the maximize button to show this window.

People
Click the maximize button to show this window.

Service Call
Click the maximize button to show this window.

Property
Click the maximize button to show this window.

Cyber Crime
Click the maximize button to show this window.

Save Submit Preview Close

Figure 10-125 Officer/Agency Details—Data Entry Screen

10.6.39 Retrieve, View, Modify or Delete a Manual Record

To view, modify, or delete a manually entered record, the SDA must first retrieve the record. Records which have been automatically submitted (by Batch or Web Services submission) can be viewed and deleted but cannot be modified manually. The SDA must re-submit a new version of the record containing all modifications to replace the previous document.

There are three methods to search for and retrieve a manual record: by draft or partial record, by using a date and time range, or by Record ID.

To retrieve manual records the SDA:

- Clicks the Data Mgmt tab.
- Clicks the Manual Record sub-tab (see Figure 10-126 Manual Record Menu Screen—Retrieval Options).
- Selects either Retrieve Draft Record; Retrieve Submitted By Date; or Retrieve Submitted by ID.

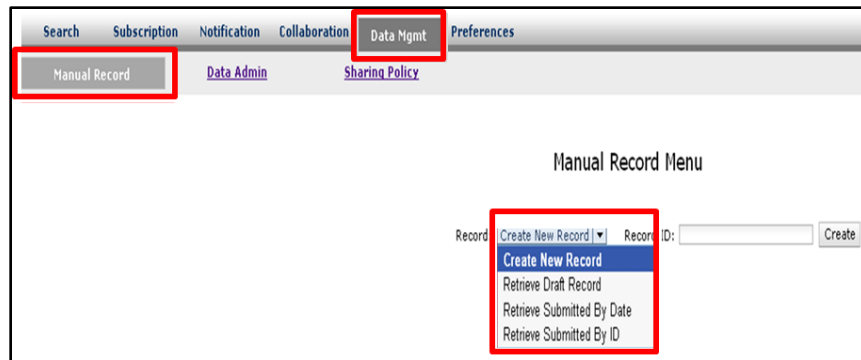


Figure 10-126 Manual Record Menu Screen—Retrieval Options

10.6.39.1 Retrieve a Draft or Partial Manual Record

To retrieve a draft or partial manual record(s), the SDA:

- a. Clicks the Retrieve Draft Record option from the menu which will display that selection in the Record: field (see Figure 10-127 Manual Record Menu—Retrieve Draft Record Screen).



Figure 10-127 Manual Record Menu—Retrieve Draft Record Screen

- b. Clicks the Retrieve button which displays the Draft Record(s) for Agency: page (see Figure 10-128 Manual Record—Draft Record(s) for Agency: Page).

10.6.39.2 Modify a Draft or Partial Manual Record

To modify a draft or partial manual record(s), an SDA:

- a. Highlights the record from the retrieval results by clicking on the record identifier in the Record ID column to select it.
- b. Clicks the Edit button to display the Incident Report screen (see Figure 10-124 Incident Report Screen). This Incident Report draft or partial record was previously created by the SDA and saved.

Manual Record Menu

Record: Retrieve Draft Record ▾ Retrieve

Draft Record(s) for Agency: FBI Test Agency

Record ID	Report Name	Last Updated	Submitted	Access Restriction	Delete	Edit

Figure 10-128 Manual Record—Draft Record(s) for Agency: Page

- c. Edits previously entered data or enters additional data to complete the record. All available data from the agency's incident report should be put into the N-DEx online Incident Report form.
- d. Clicks the Save button to save the draft of the record without submitting it to N-DEx if other edits are necessary.

OR

- e. Clicks the Submit button to submit the record directly into N-DEx (see Figure 10-124 Incident Report Screen).

10.6.39.3 Delete a Draft or Partial Manual Record

To delete a draft or partial manual record, an SDA:

- a. Highlights the record from the retrieval results by clicking on the record identifier in the Record ID column.
- b. Clicks the Delete button which will display a Confirm to Delete Records! dialog window.
- c. Clicks OK to delete the record (see Figure 10-129 Manual Record—Delete Records Dialog Window).

Manual Record Menu

Record: Retrieve Draft Record ▾ Retrieve

Draft Record(s) for Agency: FBI Test Agency

Record ID	Report Name	Last Updated	Submitted	Access Restriction	Delete	Edit

Confirm To Delete Records!

Do You Want to Delete the Selected Records?

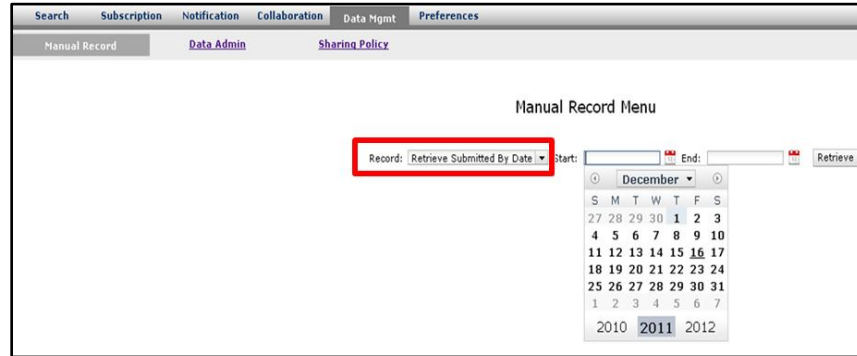
OK Cancel

Figure 10-129 Manual Record—Delete Records Dialog Window

10.6.39.4 Retrieve a Previously Submitted or Saved Manual Record by Date

To retrieve a previously submitted or saved manual record by date, an SDA:

- Clicks the Retrieve Submitted by Date option from the menu which will display that selection in the Record: field (see Figure 10-126 Manual Record Menu Screen—Retrieval Options).
- Enters a range of dates in the Start and End fields (mandatory) by clicking the calendar icon  and selecting a date(s) from the calendar (see Figure 10-130 Retrieve Previously Submitted Manual Record by Date).



Manual Record Menu

Record: Retrieve Submitted By Date Start: End: Retrieve

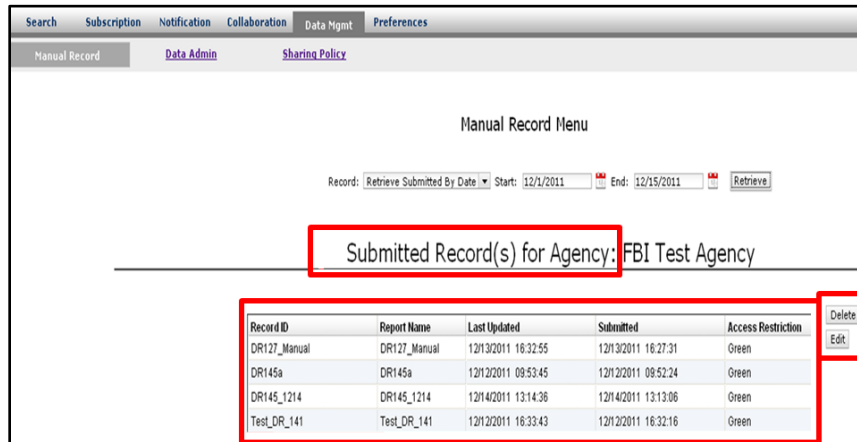
December

S	M	T	W	T	F	S
27	28	29	30	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31
1	2	3	4	5	6	7

2010 2011 2012

Figure 10-130 Retrieve Previously Submitted Manual Record by Date

- Clicks the Retrieve button to display the Submitted Record(s) for Agency: Results page where the SDA can select the desired record by highlighting it (see Figure 10-131 Submitted Record(s) for Agency Results Page).



Manual Record Menu

Record: Retrieve Submitted By Date Start: 12/1/2011 End: 12/15/2011 Retrieve

Submitted Record(s) for Agency: FBI Test Agency

Record ID	Report Name	Last Updated	Submitted	Access Restriction	Delete	Edit
DR127_Manual	DR127_Manual	12/13/2011 16:32:55	12/13/2011 16:27:31	Green		
DR145a	DR145a	12/13/2011 09:52:45	12/13/2011 09:52:24	Green		
DR145_1214	DR145_1214	12/14/2011 13:14:36	12/14/2011 13:13:06	Green		
Test_DR_141	Test_DR_141	12/13/2011 16:33:43	12/13/2011 16:32:16	Green		

Figure 10-131 Submitted Record(s) for Agency Results Page

Once the previously submitted manual record is retrieved by its submitted date, the SDA can edit or delete that record by clicking the Edit or Delete buttons, respectively, and utilizing the same steps previously outlined for modification or deletion.

10.6.39.5 Retrieve Previously Submitted or Saved Manual Record by Record ID

To retrieve a previously submitted or saved manual record by Record ID, an SDA:

- Clicks the Retrieve Submitted by ID option from the menu which will display that selection in the Record: field (see Figure 10-126 Manual Record Menu Screen—Retrieval Options).
- Enters the Record ID number (the number assigned by the submitting agency as the record identifier) in the Record ID field (see Figure 10-132 Retrieve Previously Submitted Manual Record by Record ID).
- Clicks the Retrieve button to display the Submitted Record(s) for Agency: page with the retrieval results (see Figure 10-132 Retrieve Previously Submitted Manual Record by Record ID).

The screenshot shows a web application interface with a top navigation bar containing links: Search, Subscription, Notification, Collaboration, Data Mgmt, and Preferences. Below this is a sub-navigation bar with links: Manual Record, Data Admin, and Sharing Policy. The main content area is titled 'Manual Record Menu'. It features a dropdown menu labeled 'Record: Retrieve Submitted By ID' (highlighted with a red box), a text input field for 'Record ID: DR145a', and a 'Retrieve' button. Below this, a section titled 'Submitted Record(s) for Agency: FBI Test Agency' contains a table of records. The table has columns: Record ID, Report Name, Last Updated, Submitted, Access Restriction, and a set of action buttons (Delete and Edit, both highlighted with red boxes). The table contains one record with ID 'DR145a'.

Record ID	Report Name	Last Updated	Submitted	Access Restriction	
DR145a	DR145a	12/13/2011 09:53:45	12/13/2011 09:52:24	Green	Delete Edit

Figure 10-132 Retrieve Previously Submitted Manual Record by Record ID

Once the previously submitted manual record is retrieved by its Record ID, the SDA can edit or delete that record by clicking the Edit or Delete Buttons, respectively, and utilizing the same steps previously outlined for modification or deletion.

10.6.40 Source Data Administration Reports

Data Management/System Administration Reports: aid the SDA in managing the agency's data contributions. The Submission Summary Report provides information on the status of the submission to N-DEx and whether there were problems with the submission; and the Reconciliation Report shows how many records were ingested into N-DEx. The SDA can then compare the total records sent with the total received by N-DEx.

This section describes the process a SDA uses to create submission and reconciliation reports that the SDA can view online or download. These reports are based on criteria that the SDA specifies. The Submission Summary and Reconciliation Reports provide verification of the success and comparison of the record count of an agency's submissions to N-DEx. Each report aids the SDA in managing the agency's data contributions.

- Submission Summary Report:** provides information on the status of the submission to N-DEx and whether there were problems with the submission.
- Reconciliation Report:** shows how many records were ingested into N-DEx. The SDA can then compare the total records sent with the total received by N-DEx.

10.6.41 Submission Summary Report

The SDA accesses the Summary Report via the Data Administration Menu screen.

To retrieve a summary report of submitted data (see Figure 10-133 Submission Summary Report Results Screen for steps a through g):

- Click on the Data Mgmt tab.
- Click on the Data Admin sub-tab.
- Click the drop down box beside Retrieve and select Summary Report.
- Enter a range of dates in the Start and End fields by typing them in or by clicking the calendar icon  and selecting a date from the calendar drop-down.
- Enter the applicable times in the Time fields by typing them in or by clicking within the Time boxes and selecting a time from the drop-down.
- Click the Retrieve button. If there are no records for the selected date/time range, the system informs the SDA that no records exist for that date/time range. The SDA then selects another date/time range.
- The Submission Summary Report appears and reflects how many submitted records were Successful, Replaced, Failed, Deleted, Processing, Warning, and Not Processed. The report provides information on the status of the submission to N-DEX and whether there were problems with the submission.



Reporting Period: 12/02/2011 12:00 AM - 12/15/2011 11:59 PM	
Successful	119
Replaced	9
Failed	1
Deleted	2
Processing	0
Warning	103
Not Processed: Never Record Exists	0
Total Submitted	134

Figure 10-133 Submission Summary Report Results Screen

For submitted records that failed or had warnings, a detailed listing of all records marked as Failed Submissions and Submitted with Warnings is displayed. This listing is located toward the bottom of the page under Failure/Warning Information. From this listing, the SDA can click the individual record under the Record ID column to view the entire record in a separate window (see Figure 10-134 Submission Summary Report—Failure/Warning Information Screen).

Toggle through the Failure/Warning Information list through the use of the arrow boxes. Placing the mouse over each arrow box produces a popup describing each one's functionality (see Figure 10-134 Submission Summary Report—Failure/Warning Information Screen).

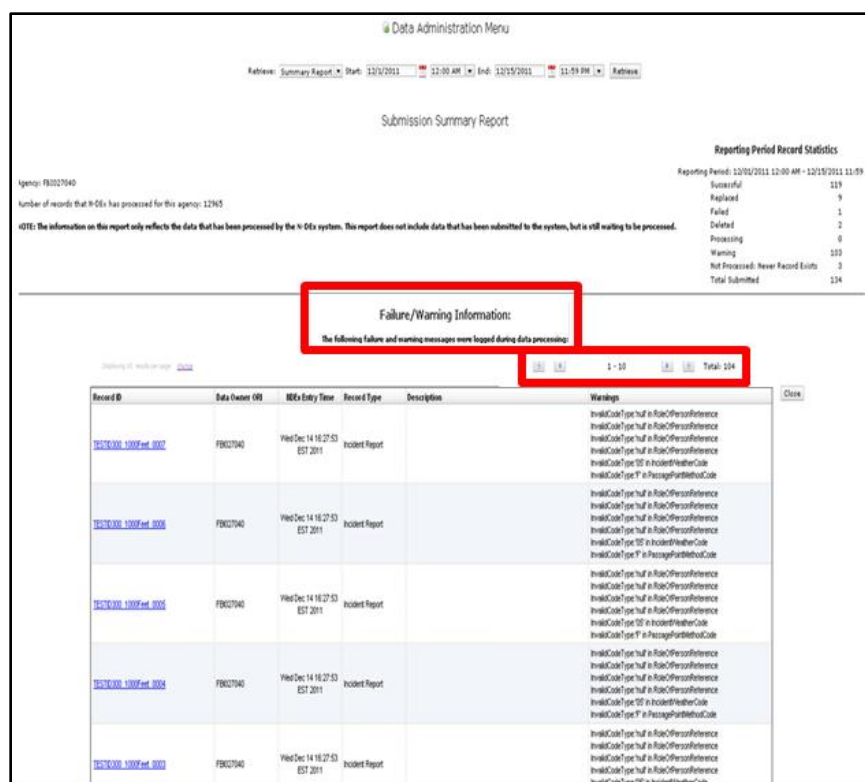


Figure 10-134 Submission Summary Report—Failure/Warning Information Screen

10.6.42 Generate Reconciliation Report

The SDA accesses the Reconciliation Report via the Data Administration Menu screen.

To generate a Reconciliation Report of an agency's total records submitted to N-DEx on a daily basis (see Figure 10-135 Generate Reconciliation Report Button Screen for steps a through g):

- Click on the Data Mgmt tab.
- Click on the Data Admin sub-tab.
- Click the drop down box beside Retrieve and select Reconciliation Report.
- Input a range of dates in the Start and End fields by typing them in or by clicking on the calendar icon  and selecting a date from the calendar drop-down.
- Enter the applicable times in the Time fields by typing them in or by clicking within the Time boxes and selecting a time from the drop-down.
- Click the Retrieve button. If there are no records for the selected date/time range, the system informs the SDA that no records exist for that date/time range. The SDA then selects another date/time range.
- The resulting Reconciliation Data screen reflects the daily Submitted Records Count along with the respective Submission Date. This allows the SDA to reconcile how many records are ingested into N-DEx and compare that total to the agency's RMS records. The detailed data for each record can be accessed by clicking directly on the Submission Date link.

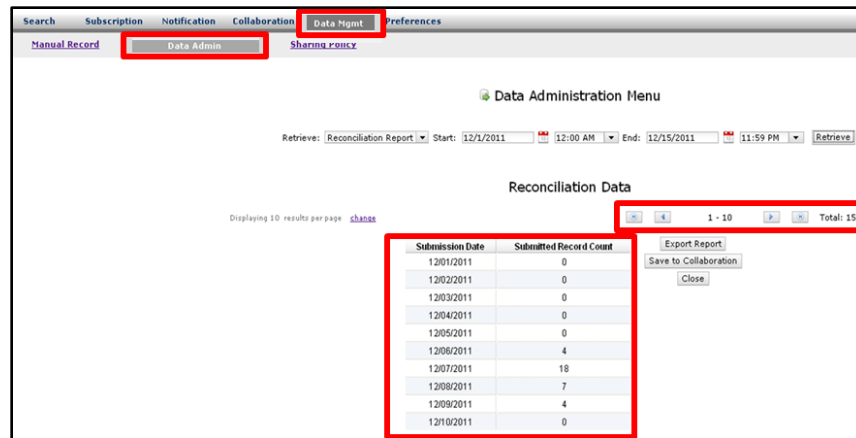


Figure 10-135 Generate Reconciliation Report Button Screen

- h. Clicking the Export Report button allows the SDA to download the daily detailed records into a report format. Highlight the row by clicking on the Submission Date (see Figure 10-136 Reconciliation Report Screen—Export Report).
- i. Click the Export Report button to download those daily detailed records into a spreadsheet format (see Figure 10-136 Reconciliation Report Screen—Export Report).

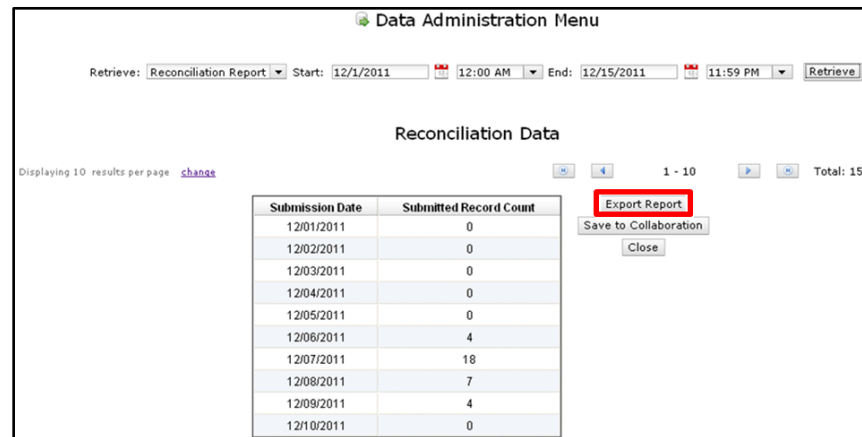


Figure 10-136 Reconciliation Report Screen—Export Report

- j. The Confirm to Export Records screen appears asking Do You Want to Export the Selected Records Data? Click the OK button to proceed with the export (see Figure 10-137 Reconciliation Report—Confirm to Export Records Screen).

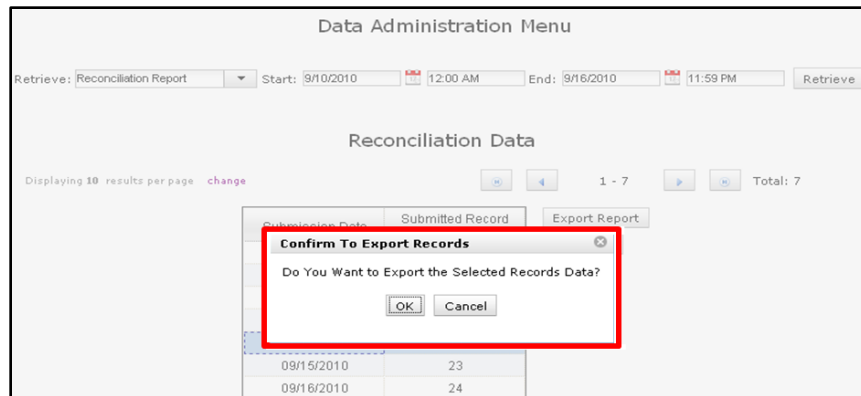


Figure 10-137 Reconciliation Report—Confirm to Export Records Screen

- k. The Open Reconciliation Report screen appears (see Figure 10-138 Reconciliation Report—Saving the Report Screen).
- l. Click the Save File button (see Figure 10-138 Reconciliation Report—Saving the Report Screen).
- m. Click the OK button (see Figure 10-138 Reconciliation Report—Saving the Report Screen). The report appears in a spreadsheet format and includes details on each record for each day. Those record details include: Record ID, Record Type, and Submission Date. The SDA then saves the report to his or her personal workstation.
- n. Clicking the Close button closes the report and returns the SDA to the Data Administration Menu (see Figure 10-136 Reconciliation Report Screen—Export Report).

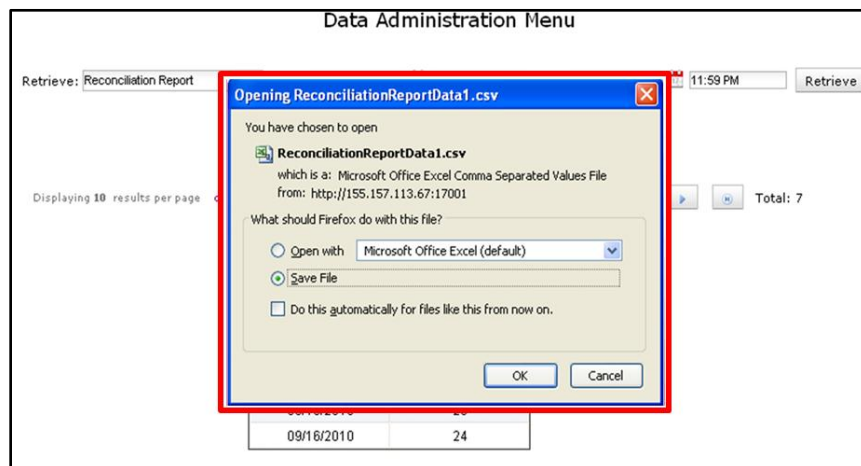


Figure 10-138 Reconciliation Report—Saving the Report Screen

- o. Clicking the Save to Collaboration button allows the SDA to save the daily detailed records within a collaboration site. Highlight the row by clicking on the Submission Date (see Figure 10-139 Reconciliation Report Screen—Save to Collaboration).
- p. Click the Save to Collaboration button to save the daily detailed records within a collaboration site (see Figure 10-140 Reconciliation Report—Save to Collaboration Site Screen).

Data Administration Menu

Retrieve: **Reconciliation Report** Start: 12/1/2011 12:00 AM End: 12/15/2011 11:59 PM **Retrieve**

Reconciliation Data

Displaying 10 results per page [change](#) 1 - 10 Total: 15

Submission Date	Submitted Record Count
12/01/2011	0
12/02/2011	0
12/03/2011	0
12/04/2011	0
12/05/2011	0
12/06/2011	4
12/07/2011	18
12/08/2011	7
12/09/2011	4
12/10/2011	0

Export Report
Save to Collaboration
 Close

Figure 10-139 Reconciliation Report Screen—Save to Collaboration

The Save to Collaboration Site screen appears asking the user to select a collaboration site and to name the report. Click the OK button to save the report to a collaboration site (see Figure 10-140 Reconciliation Report—Save to Collaboration Site Screen).

Data Administration Menu

Retrieve: **Reconciliation Report** Start: 12/1/2011 12:00 AM End: 12/15/2011 11:59 PM **Retrieve**

Reconciliation Data

Displaying 10 results per page [change](#) 1 - 10 Total: 15

Submission Date	Submitted Record Count
12/01/2011	0
12/02/2011	0
12/03/2011	0
12/04/2011	0
12/05/2011	0

Export Report
Save to Collaboration
 Close

Save to Collaboration Site

Please select a site: Filename:

Ok **Cancel**

Figure 10-140 Reconciliation Report—Save to Collaboration Site Screen

10.6.43 Automated Processing Administrator Responsibilities

N-Dex provides Automated Processing, which does not require a subscription to the service. N-Dex automatically seeks correlations between an agency's N-DEX record data and new submissions from both the agency and other agencies. N-Dex provides reports; see detailed instructions in Section 10.8.1: Automated Processing Reports; to the agency about correlations that may result in matching records.

Each agency can designate an AP Admin who is authorized to manage the agency's automated processing notifications. Only AP Admins have access to the AP Admin sub-tab. This sub-tab is reached after clicking the Subscription tab.

AP Admin tasks include:

- Creating the View Records Automated Notification Rule.** Under this rule, a notification is generated when another N-DEX user views the agency's records (via a search result or via a Link/Geo Visualization).

- b. **Creating the Entity Match Automated Notification Rule.** Under this rule, a notification is generated when a newly submitted record from the agency matches its own records within N-DEx. Additionally, a notification is generated when a new record from another agency matches records from the AP Admin's agency.

10.6.44 Create and Edit a View Records Notification

An AP Admin can create and edit the View Records Notification rules. N-DEx will automatically notify the AP Admin when records from the AP Admin's agency are viewed in search results. These rules set the conditions under which the AP Admin's agency will be automatically notified when its records are viewed either in search results or in a Link or Geo Visualization.

To **create** a Viewed Record notification rule, the AP Admin:

- a. Clicks the Subscription tab.
- b. Clicks the AP Admin sub-tab (see Figure 10-141 Viewed Records Notification Screen).
- c. Selects the View Record menu option in the Select Rule window.
- d. Enters a name for the rule the Rule Name field.
- e. Chooses Search and/or Visualization notification options by clicking the box beside the desired option(s) (see Figure 10-141 Viewed Records Notification Screen).
- f. Elects whether to contact the record POC in addition to the agency selected POC by checking the box within the Contact area (see Figure 10-141 Viewed Records Notification Screen).
- g. Locates and selects the appropriate POCs using the Points of Contact Selected Users window.

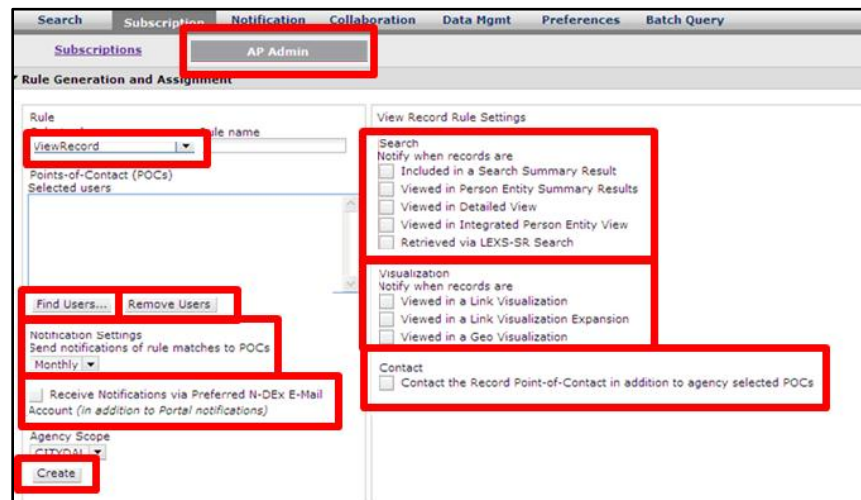


Figure 10-141 Viewed Records Notification Screen

- h. Selects the Find Users button (see Figure 10-141 Viewed Records Notification Screen) to display the Select POCs window (see Figure 10-142 Admin—Select POCs Screen).
- i. Inputs the user(s) first and/or last names in the respective fields.
- j. Selects the Find button to display the user search results.
- k. Selects the appropriate user(s).
- l. Clicks the OK button (see Figure 10-142 Admin—Select POCs Screen).

Figure 10-142 Admin—Select POCs Screen

- m. Establishes the POC notification frequency using the Notification Settings box (see Figure 10-141 Viewed Records Notification Screen) and selects the appropriate notification frequency (Daily, Weekly, or Monthly) from the drop down menu.
- n. Decides whether to notify the POC(s) using Preferred N-DEx Email Accounts in addition to the Portal Notification by checking the box (see Figure 10-141 Viewed Records Notification Screen).
- o. Identifies agency(ies) to be included in the record notification by clicking on the appropriate ORI(s). Within the Agency Scope area, the ORI menu options represent the agency(ies) that the AP Admin administers (see Figure 10-141 Viewed Records Notification Screen).
- p. Clicks the Create button to complete the Viewed Record Notification (see Figure 10-141 Viewed Records Notification Screen). The rule is now displayed in the Assigned Rules window.

An AP Admin can Edit or Delete a rule and can produce a Report (see Figure 10-143 AP Admin—Assigned Rules Screen). Report production is covered in detail in Section 10.8.1: Automated Processing Reports.

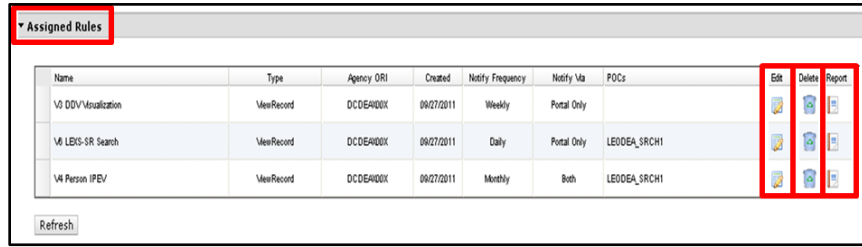
To **edit** a Viewed Record Notification Rule, the AP Admin:

- a. Selects a rule to be edited by clicking on the rule to highlight it.
- b. Clicks the Edit icon  and makes the necessary revisions to the rule (see Figure 10-143 AP Admin—Assigned Rules Screen).

To **delete** a Viewed Record Notification Rule, the AP Admin:

- a. Selects a rule to be edited by clicking on the rule to highlight it.

- b. Selects the Delete icon  to delete the rule (see Figure 10-143 AP Admin—Assigned Rules Screen).



Name	Type	Agency ORI	Created	Notify Frequency	Notify Via	POCs	Edit	Delete	Report
V2 DDV Visualization	ViewRecord	DCDEA00X	09/27/2011	Weekly	Portal Only				
V6 LEIS-SR Search	ViewRecord	DCDEA00X	09/27/2011	Daily	Portal Only	LEODEA_SRCH1			
V4 Person IPEV	ViewRecord	DCDEA00X	09/27/2011	Monthly	Both	LEODEA_SRCH1			

Refresh

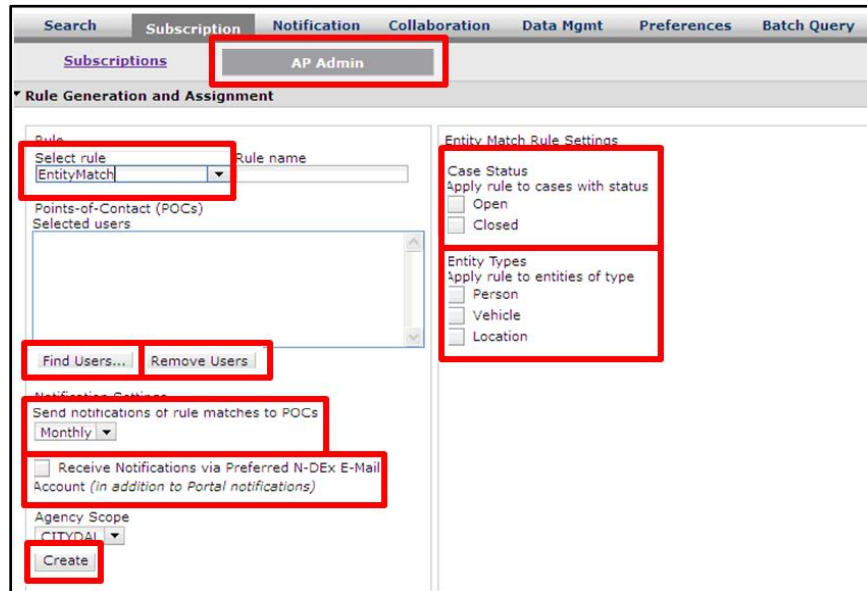
Figure 10-143 AP Admin—Assigned Rules Screen

10.6.45 Create and Edit an Entity Match Notification

AP Admin has the capability to create and edit an Entity Match Notification Rules. These rules set the conditions under which the AP Admin's agency will be automatically notified of entities that correlate with its records. The AP Admin screen is only provided to N-DEx users who are designated as the AP Admin for the agency.

To create an Entity Match notification rule, the AP Admin:

- Clicks the Subscription tab.
- Selects the AP Admin sub-tab (see Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen).



Search Subscription Notification Collaboration Data Mgmt Preferences Batch Query

Subscriptions AP Admin

Rule Generation and Assignment

Rule

Select rule: EntityMatch Rule name:

Points-of-Contact (POCs)

Selected users:

Find Users... Remove Users

Entity Match Rule Settings

Case Status

Apply rule to cases with status

☐ Open ☐ Closed

Entity Types

Apply rule to entities of type

☐ Person ☐ Vehicle ☐ Location

Notification Settings

Send notifications of rule matches to POCs

Monthly

☐ Receive Notifications via Preferred N-DEx E-Mail Account (in addition to Portal notifications)

Agency Scope

CITYDAL

Create

Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen

- Selects the Entity Match rule from the Select Rule menu.
- Enters a name for the rule in the Rule Name field (see Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen).
- Selects the Case Status rule in the Entity Match Rule Settings area. If an Open case status is selected, notifications will only be prepared for open records. If a Closed case status is selected, notifications will only be prepared for closed records. If both statuses are

- selected, notifications will be prepared for all viewed records (see Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen).
- f. Applies the rules to the following entity types: Person, Vehicle, and Location using the Entity Types area (see Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen).
 - g. Locates and selects the appropriate POCs to be notified using the Points-of-Contact (POCs) Selected users window.
 - h. Selects the Find Users button (see Figure 10-132 Retrieve Previously Submitted Manual Record by Record ID) to display the Select POCs window; see detailed instructions in Section 10.8.1: Automated Processing Reports:
 - i. Inputs the user(s) first and/or last names in the respective fields.
 - ii. Selects the Find button to display the search results.
 - iii. Selects the user(s) who will be the POCs.
 - iv. Clicks the OK button (see Figure 10-142 Admin—Select POCs Screen).
 - v. Establishes the POC notification frequency using the Notification Settings area by selecting the appropriate notification frequency option (Daily, Weekly, or Monthly) from the menu.
 - vi. Decides whether the POC will be notified through his/her Preferred N-DEx Email Account in addition to the Portal Notification (see Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen).
 - vii. Identifies which agency(ies) will be included in the record notification by clicking on the appropriate ORIs. Within the Agency Scope area, the ORI menu options represent the agency(ies) that the AP Admin administers (see Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen).
 - viii. Clicks the Create button to complete the Entity Match Notification (see Figure 10-144 Automated Processing Administrator—Entity Match Notification Screen). Once an Entity Match rule has been created, the rule appears in the Assigned Rules box.

The AP Admin can Edit or Delete a rule as well as produce a Report (see Figure 10-143 AP Admin—Assigned Rules Screen). Report production is covered in detail; see Section 10.8.1: Automated Processing Reports.

To **edit** an Entity Match Notification Rule, the AP Admin:

- a. Selects the rule to be modified.
- b. Selects the Edit icon  for that rule.
- c. Makes the necessary revisions to the rule (see Figure 10-143 AP Admin—Assigned Rules Screen).

To **delete** an Entity Match notification rule, the AP Admin:

- a. Selects the rule to be modified.
- b. Clicks the Delete icon  for that rule to delete the rule (see Figure 10-143 AP Admin—Assigned Rules Screen).

10.7 NIBRS Administrator Responsibilities

An option is available to National Incident-Based Reporting System (NIBRS) certified agencies to submit NIBRS data via an N-DEx submission. NIBRS information flags (NIBRS ORI and Report Type) mark the record(s) for extraction.

The extraction of records for transmission to NIBRS is authorized to and regulated by two **possible** administrator roles:

- SDA Plus NIBRS Admin:** controls the initiation of and monitoring of the NIBRS data extraction process within N-DEx.
- NIBRS Admin:** is assigned by CJIS to monitor the transmission of NIBRS data from N-DEx into the Uniform Crime Reporting (UCR) system. This administrator can see all of the submitting agency's data, and can monitor and troubleshoot any issues or problems with the transmission of that data from N-DEx to the UCR system.

From the Data Mgmt tab and the NIBRS sub-tab, the N-DEx NIBRS Admin can:

- Retrieve one or more N-DEx ingested records, and/or a rendering of NIBRS transmitted records for viewing by Date or Record ID through the NIBRS Data Monitor screen (see Figure 10-145 NIBRS Data Monitor Screen).

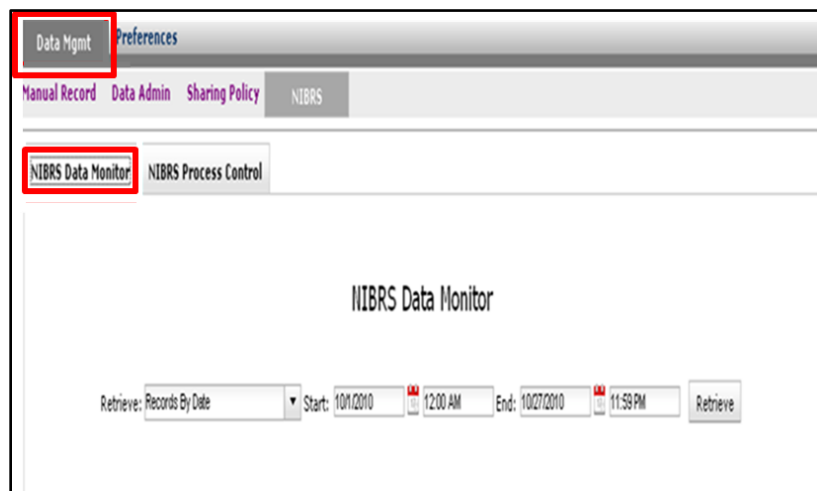


Figure 10-145 NIBRS Data Monitor Screen

- Initiate the NIBRS data extraction process for the submitting agency as well as review and update the status of the transmission process for each individual NIBRS ORI from the NIBRS Process Control screen (see Figure 10-146 NIBRS Process Control Screen).

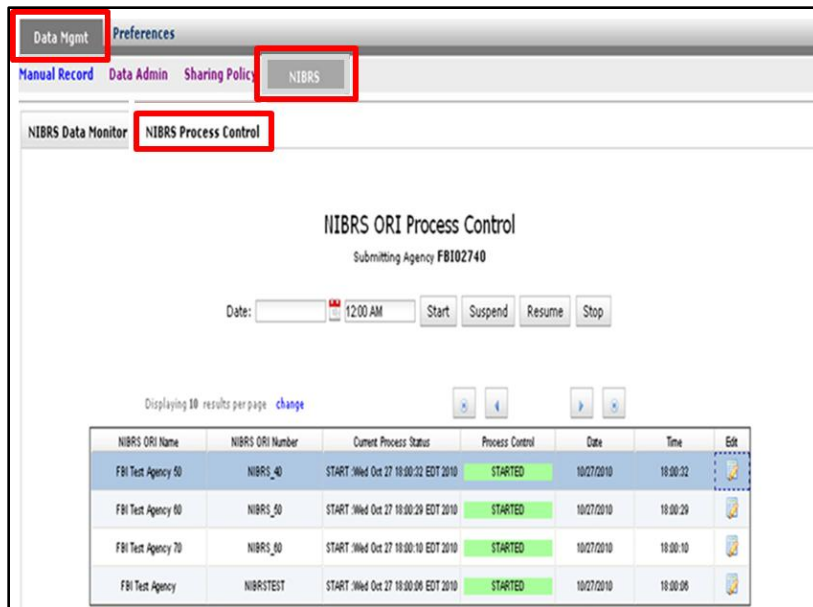


Figure 10-146 NIBRS Process Control Screen

The extraction and transmission process of the N-DEx data to NIBRS requires an initial setup of the Start function of the NIBRS Process Control menu. Full error checking is done throughout the extraction process, with provisions for starting, stopping, suspending, and resuming the process. The UCR/NIBRS Administrator will troubleshoot any errors after the extraction is performed. The data extracted from N-DEx and transmitted to NIBRS is automatically identified and processed. No modification to the automatically ingested N-DEx data is required. This functionality is described in greater detail throughout the remainder of this section.

10.7.1 NIBRS Data Retrieval and Display

To retrieve NIBRS records for viewing by Date or by Record ID, a NIBRS Admin clicks the Data Mgmt tab, the NIBRS sub-tab, and the NIBRS Data Monitor sub-tab. The NIBRS Data Monitor menu appears (see Figure 10-147 NIBRS Data Monitor—Retrieve Records by Date).

The NIBRS Admin retrieves records by Date (see Figure 10-147 NIBRS Data Monitor—Retrieve Records by Date) by:

- Clicking the drop-down box within the Retrieve area.
- Selecting Records By Date from the drop-down box.
- Selecting the start date and time from the drop-down boxes to the right of the Start label.
- Selecting the end date and time from the drop-down boxes to the right of the End label.
- Selecting the Retrieve button. The selection will include all records within the time period designated.

The screenshot shows the NIBRS Data Monitor interface. At the top, there are tabs for 'Data Mgmt' and 'Preferences'. Below these are sub-tabs: 'Manual Record', 'Data Admin', 'Sharing Policy', and 'NIBRS'. The 'NIBRS' sub-tab is selected. Under the 'NIBRS' sub-tab, there are two buttons: 'NIBRS Data Monitor' and 'NIBRS Process Control'. The 'NIBRS Data Monitor' button is highlighted with a red box. Below the buttons, the text 'NIBRS Data Monitor' is displayed. At the bottom, there is a 'Retrieve' section with a dropdown menu set to 'Records By Date', a 'Start' date of 10/1/2010 at 12:00 AM, an 'End' date of 10/27/2010 at 11:59 PM, and a 'Retrieve' button. The entire 'Retrieve' section is highlighted with a red box.

Figure 10-147 NIBRS Data Monitor—Retrieve Records by Date

To retrieve records by **Record ID** (see Figure 10-148 NIBRS Data Monitor—Retrieve Records by ID), a NIBRS Admin:

- Clicks the drop-down box within the Retrieve area.
- Selects Record By ID from the drop-down list.
- Types the Record ID into the box provided under the Record ID label.
- Selects the Retrieve button.

The screenshot shows the NIBRS Data Monitor interface. At the top, there are tabs for 'Data Mgmt' and 'Preferences'. Below these are sub-tabs: 'Manual Record', 'Data Admin', 'Sharing Policy', and 'NIBRS'. The 'NIBRS' sub-tab is selected. Under the 'NIBRS' sub-tab, there are two buttons: 'NIBRS Data Monitor' and 'NIBRS Process Control'. The 'NIBRS Data Monitor' button is highlighted with a red box. Below the buttons, the text 'NIBRS Data Monitor' is displayed. At the bottom, there is a 'Retrieve' section with a dropdown menu set to 'Records By ID', a 'Record ID' input field, and a 'Retrieve' button. The entire 'Retrieve' section is highlighted with a red box.

Figure 10-148 NIBRS Data Monitor—Retrieve Records by ID

Either retrieval method (by either date or record ID) displays the results via the NIBRS Data Monitor screen (see Figure 10-149 NIBRS Data Monitor—Record Results Screen).

- Clicking the View Original Report icon  displays the entire N-DEx record in an XML format.
- Clicking the View NIBRS Extract icon  displays the NIBRS record data in a modified XML stylesheet.
- To scroll through the list of records, use the different arrow display options located at the top of the screen.

NIBRS Data Monitor

Retrieve: Records By Date Start: 10/1/2010 12:00 AM End: 10/27/2010 11:59 PM Retrieve

Displaying 10 results per page change 1 - 10 Total: 20

Record ID	Report Type	Submitting Agency	NIBRS ORI	Submission Date/Time	Processing Status	View Original Report	View NIBRS Extract
2008070913	Group A Incident Report_Time Window	FB02740	NIBRSTEST	10/27/2010 17:29:51	COMPLETED		
2008030956	Group A Incident Report	FB02740	NIBRS_70	10/27/2010 17:29:45	COMPLETED		
MP022326	Group B Arrest Report	FB02740	NIBRSTEST	10/27/2010 17:29:45	COMPLETED		
20081101747	Group A Incident Report_LEOKA	FB02740	NIBRSTEST	10/27/2010 17:29:44	COMPLETED		
amst27	Zero Report	FB02740	NIBRSTEST	10/27/2010 17:29:43	COMPLETED		
20081101747	Group A Incident Report_LEOKA	FB02740	NIBRS_70	10/22/2010 07:29:29	NEW		
2008030956	Group A Incident Report	FB02740	NIBRS_70	10/22/2010 07:29:25	NEW		

Figure 10-149 NIBRS Data Monitor—Record Results Screen

The Processing Status column reflects the current state of the record in the extraction process (see Figure 10-150 NIBRS Data Monitor—Processing Status Screen).

- New:** the NIBRS extraction process has not started.
- Extracted:** the NIBRS data has been extracted but not yet transmitted to the Uniform Crime Reporting (UCR) system.
- Transmitting:** the NIBRS data is being transmitted to the UCR system.
- Completed:** the UCR system has received the NIBRS data.
- Failed:** the extraction process failed.

To correct and retransmit the record(s) to NIBRS, the SDA plus NIBRS Administrator must first resubmit the agency's corrected data to N-DEx. The data submission process is described in greater detail in the Data Management CBT module.

NIBRS Data Monitor

Retrieve: Records By Date Start: 10/1/2010 12:00 AM End: 10/27/2010 11:59 PM Retrieve

Displaying 10 results per page change 1 - 10 Total: 20

Record ID	Report Type	Submitting Agency	NIBRS ORI	Submission Date/Time	Processing Status	View Original Report	View NIBRS Extract
2008070913	Group A Incident Report_Time Window	FB02740	NIBRSTEST	10/27/2010 17:29:51	COMPLETED		
2008030956	Group A Incident Report	FB02740	NIBRS_70	10/27/2010 17:29:45	COMPLETED		
MP022326	Group B Arrest Report	FB02740	NIBRSTEST	10/27/2010 17:29:45	COMPLETED		
20081101747	Group A Incident Report_LEOKA	FB02740	NIBRSTEST	10/27/2010 17:29:44	COMPLETED		
amst27	Zero Report	FB02740	NIBRSTEST	10/27/2010 17:29:43	COMPLETED		
20081101747	Group A Incident Report_LEOKA	FB02740	NIBRS_70	10/22/2010 07:29:29	NEW		
2008030956	Group A Incident Report	FB02740	NIBRS_70	10/22/2010 07:29:25	NEW		

Figure 10-150 NIBRS Data Monitor—Processing Status Screen

10.7.2 NIBRS ORI Process Control

The SDA plus NIBRS Administrator initiates the NIBRS data extraction process for the submitting agency as well as reviews and updates the status of the transmission process for each individual NIBRS ORI from the NIBRS ORI Process Control screen (see Figure 10-151 NIBRS Process Control).

- Click the Data Mgmt tab, then the NIBRS sub-tab.
- Click the NIBRS Process Control sub-tab. The NIBRS ORI Process Control screen appears (see Figure 10-151 NIBRS Process Control).

NIBRS ORI Name	NIBRS ORI Number	Current Process Status	Process Control	Date	Time	File
FBI Test Agency 50	NIBRS_40	START Wed Oct 27 18:00:22 EDT 2010	STARTED	10/27/2010	18:00:22	
FBI Test Agency 60	NIBRS_50	START Wed Oct 27 18:00:29 EDT 2010	STARTED	10/27/2010	18:00:29	
FBI Test Agency 70	NIBRS_60	START Wed Oct 27 18:00:10 EDT 2010	STARTED	10/27/2010	18:00:10	
FBI Test Agency	NIBRSTEST	START Wed Oct 27 18:00:06 EDT 2010	STARTED	10/27/2010	18:00:06	

Figure 10-151 NIBRS Process Control—Submitting Agency and Individual Agency Level

To extract and transmit **all** of the NIBRS ORI's data that is a part of the **submitting agency** (see Figure 10-151 NIBRS Process Control), the SDA plus NIBRS Admin:

- Clicks the Calendar icon  beside the empty Date box and select a date.
- Clicks within the Time box and enter the time.
- Clicks the Start button to kick off the extraction process (the SDA plus NIBRS Administrator must Start the NIBRS Process).

OR

- Clicks the Suspend button to halt the extraction process.

OR

- Clicks the Resume button to restart the extraction process.

OR

- Clicks the Stop button to disable the extraction process (the NIBRS process control defaults to the Stop state until the SDA plus NIBRS Administrator starts the extraction process). The Process Control column within the NIBRS ORI table will update to reflect the extraction choice made.

In addition, the SDA plus NIBRS Administrator can monitor and update the status of **individual** NIBRS ORI(s) during the extraction and transmission process.

- a. Determine the individual NIBRS ORI from the table (see Figure 10-151 NIBRS Process Control).
- b. Click the icon in the Edit column for the individual NIBRS ORI (see Figure 10-151 NIBRS Process Control).
- c. The Edit toolbar now displays in the table (see Figure 10-152 NIBRS Process Control—Individual Agency Level—Edit Toolbar Screen).
- d. The following columns in the table headings are editable fields: Process Control, Date and Time (see Figure 10-152 NIBRS Process Control—Individual Agency Level—Edit Toolbar Screen).
- e. Click the Process Control drop-down box to choose one option from the following:
 - i. Start button to kick off the extraction process.

OR

 - ii. Suspend button to halt the extraction process.

OR

 - iii. Resume button to restart the extraction process

OR

 - iv. Stop button to disable the extraction process.
- f. Click the icon beside the Date and/or click within the Time box, and select the appropriate date and time.
- g. Click the Save icon  to save and submit the selections. The Process Control, Date, and Time columns for the individual NIBRS ORI will update to reflect the extraction choice made.
- h. Click the red Cancel icon  to clear any previous selections.

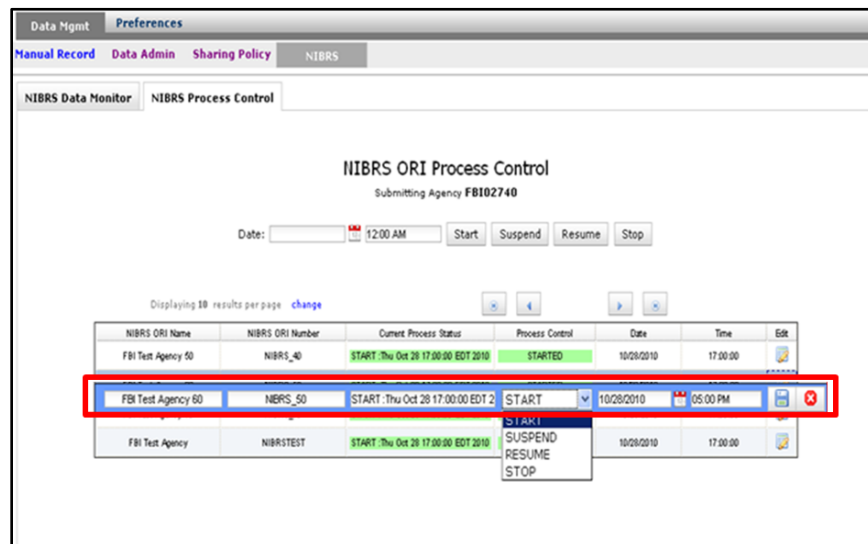


Figure 10-152 NIBRS Process Control—Individual Agency Level—Edit Toolbar Screen

10.8 Automated Processing Administrator Responsibilities

10.8.1 Automated Processing Reports

Automated Processing Reports: provides the AP Admin and the agency the capability to receive automatic notifications and alerts for entities that may be of interest to the agency. These

notifications report via the Viewed Records and Entity Match reports new entities that are closely correlated with records owned by the agency.

Notification Reporting on Entities and Records: allows agencies to set up a subscription to be notified about entities and/or records that are updated, removed or viewed.

The Automated Processing reports include:

- a. **View Record Report:** under this rule, the AP Admin's agency is notified when another N-Dex user views his or her agency's records via a search result or via a Link/Geo Visualization.
- b. **Entity Match Report:** under this rule, a user's agency is notified when a new record from the same agency matches with its own records. Additionally, notification is generated when a new record from another agency matches with its own records.

If the AP Admin has designated the user as a POC to receive one or more automated processing reports, the AP User sub-tab appears under the Subscription tab. Click the Subscription tab and then click the AP User tab. The Assigned Rules screen appears (see Figure 10-153 AP User—Assigned Rules).



Figure 10-153 AP User—Assigned Rules

Once the AP Admin has created either a Viewed Records or an Entity Match rule, the rule appears in the Assigned Rules box. To generate a View Record or Entity Match Report (see Figure 10-154 AP Administrator—Assigned Rules—Report Screen):

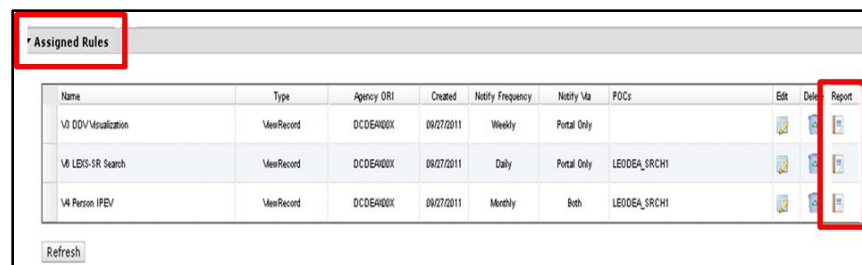
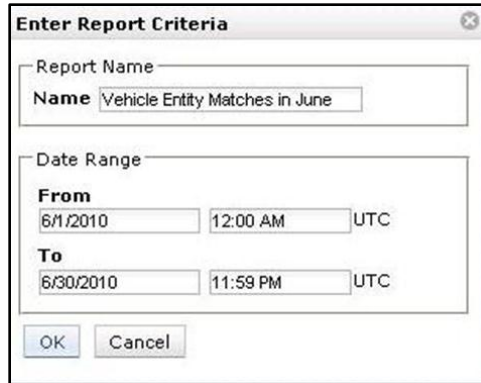


Figure 10-154 AP Administrator—Assigned Rules—Report Screen

- a. Select the icon under the Report column.
- b. The Enter Report Criteria box appears. Enter the Report Name and input the Date Range and UTC (Time) and select OK (see Figure 10-155 AP Administrator—Enter Report Criteria Screen).



Enter Report Criteria

Report Name

Name: Vehicle Entity Matches in June

Date Range

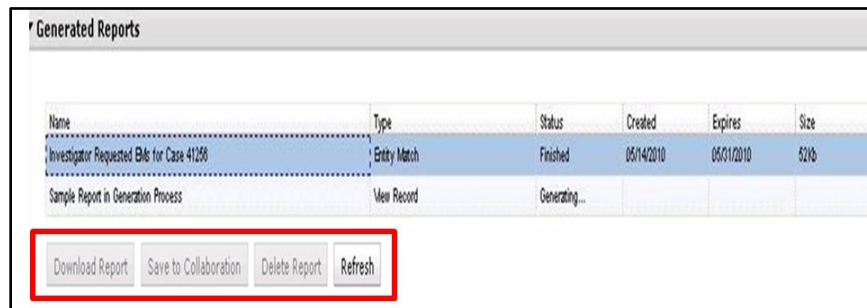
From: 6/1/2010 12:00 AM UTC

To: 6/30/2010 11:59 PM UTC

OK Cancel

Figure 10-155 AP Administrator—Enter Report Criteria Screen

- c. The newly created report now appears in the Generated Reports area of the screen. The Generated Reports area includes (see Figure 10-156 AP Administrator—Generated Reports Screen):
 - i. **Name:** the report name.
 - ii. **Type:** the report type such as Entity Match or View Record.
 - iii. **Status:** shows whether the report is Generating or Finished.
 - iv. **Created:** the initial date the report was generated.
 - v. **Expires:** the date the report will terminate.
 - vi. **Size:** report size.
- d. To download the report into a PDF or CSV format, select the Download Report button (see Figure 10-156 AP Administrator—Generated Reports Screen).
- e. To save the report to a Collaboration site, click the Save to Collaboration button (see Figure 10-156 AP Administrator—Generated Reports Screen). This saves the report to an N-DEX collaboration site in order to share the report with other members of a collaboration group.
- f. To delete the report, select the Delete Report button (see Figure 10-156 AP Administrator—Generated Reports Screen).
- g. To move the report from the Generating status to a Finished status, click the Refresh button (see Figure 10-156 AP Administrator—Generated Reports Screen).



Generated Reports

Name	Type	Status	Created	Expires	Size
Investigator Requested Bldg for Case 41298	Entity Match	Finished	05/14/2010	05/01/2010	52kb
Sample Report in Generation Process	View Record	Generating...			

Download Report Save to Collaboration Delete Report Refresh

Figure 10-156 AP Administrator—Generated Reports Screen

Appendix A: ACRONYMS

Acronym	Term
AA	Audit Administrator
AAR	Agency Member Report
AKST	Alaska Standard Time
AMR	Agency Member Report
AP	Automated Processing
AP Admin	Automated Processing Administrator
ASRD	Agency Source Record Disclosure
CARR	Cross Agency Recorded Report
CAUACR	Contributing Agency User Cross Agency Report
CBP	Customs and Border Patrol
CBT	Computer-Based Training
CD	Compact Disc
CJAs	Criminal Justice Agencies
CJIS	Criminal Justice Information Services
CSO	CJIS Systems Officer
CSO Admin	CSO Administrator
CST	Central Standard Time
CSV	Comma-Separated Values
CUI	Controlled Unclassified Information
Data Mgmt	Data Management
DBF	Database File
Delegated Training Admin	Delegated Training Administrator
Delegated User Admin	Delegated User Administrator
DHS	Department of Homeland Security
DOB	Date of Birth
DOJ	Department of Justice
DSR	Detailed Search Report
DVD	Digital Versatile Disc
ENFORCE	Enforcement Case Tracking System
ET	Eastern Time
FBI	Federal Bureau of Investigation

Acronym	Term
fn:	First Name
FTP	File Transfer Protocol
HAST	Hawaii-Aleutian Standard Time
ICE	Immigration and Customs Enforcement
ID	Identification
IDP	Identity Provider
INTERPOL	Interpol Criminal Police Organization
IPEV	Integrated Person Entity View
KML	Keyhole Markup Language
lat	Latitude
LEEP	Law Enforcement Enterprise Portal
LEIS	Law Enforcement Information Sharing
LEISP	Law Enforcement Information Sharing Program
LEO	Law Enforcement Online
LESS	Law Enforcement Support Section
LEXS	Logical Entity Exchange Specifications
LEXS-SR	LEXS Search and Retrieval
LISP	List Processing
ln:	Last Name
long	longitude
MO	Modus Operandi
MST	Mountain Standard Time
NA	NIBRS Administrator
NAC	N-DEx Agency Coordinator
N-DEx	National Data Exchange
NIBRS	National Incident-Based Reporting System
ORI	Originating Agency Identifier
PDF	Portable Document Format
PII	Personally Identifying Information
PNM	Probabilistic Name Matching
PO	Program Office
POC	Point of Contact
PST	Pacific Standard Time
RMS	Records Management System

Acronym	Term
ROB	Rules of Behavior
SA	Security Auditor/Administrator
SBU	Sensitive But Unclassified
SCR	Search Criteria Report
SDA	Source Data Administrator
SIG	Special Interest Group
SSR	Search Summary Report
SSRD	Single Source Record Disclosure
SUSRD	Single User Source Record Disclosure
TA	Training Administrator
TECS	Treasury Enforcement Communications System
TSR	Total Search Report
UA	User Administrator
UAR	User Activity Report
UARD-SU	User Agency Record Disclosures to a Single User Report
UARD-AU	User Agency Record Disclosures to All User's Report
UCR	Uniform Crime Reporting
URR	Unique Record Report
USA	United States of America
USB	Universal Serial Bus
UTC	Coordinated Universal Time
UVR	User Viewed Record Report
VLX	Visual LISP
WAN	Wide Area Network
XML	Extensible Markup Language