

N.C. STATE BUREAU OF INVESTIGATION



e-SOR

Instructions for DataWorks Plus Live-Scan Devices

Electronic Fingerprinting of Sex Offender Registrants in North Carolina

SBI – Criminal Information and Identification Section

10/20/2011

EXECUTIVE SUMMARY for Electronic SOR Fingerprinting — e-SOR

As a component of the National Sex Offender Registration and Notification Act (SORNA), the N.C. State Bureau of Investigation (SBI) initiated a program for the Electronic Sex Offender Registry (e-SOR) Fingerprinting. The e-SOR program provides for the electronic fingerprinting of sex offender registrants (SOR) at Sheriffs' Offices throughout North Carolina. Once captured, the SOR fingerprint images are then electronically submitted to the SBI for storage and searching.

The e-SOR program offers multiple benefits to local, state, and federal law enforcement agencies throughout North Carolina such as:

1. Faster, more efficient fingerprinting of sex offender registrants.
2. Increased quality of fingerprint images to minimize rejected or unusable fingerprint images.
3. Electronic submission to the SBI and storage of SOR fingerprint images in the Statewide Automated Fingerprint Identification System (SAFIS).
4. Comparison of SOR fingerprint images to 10-print (criminal and non-criminal) and latent searches.
5. Establish fingerprint images in SAFIS for sex offender registrants who move into North Carolina from other states.

Currently, sex offender registrants are manually fingerprinted and the physical SOR fingerprint cards remains solely in the local files of Sheriffs' Offices providing minimal investigative or enforcement value beyond a manual search for basic reference.

The e-SOR program enables electronic fingerprinting of the sex offender registrants on live-scan devices at the local Sheriffs' Offices by integrating a new Sex Offender Registry fingerprint card format into SAFIS. Local agencies then electronically transmit to SAFIS those fingerprint images taken as a result of registering sex offenders.

Submitted SOR fingerprint images stored in SAFIS are available for searches and comparisons to provide increased investigative and enforcement value, much like current criminal submissions. This enhancement also includes an interface between SAFIS and the North Carolina SOR website to allow for the exchange of data and to populate appropriate fields in a more efficient and accurate manner.

In October 2010, the SBI launched a pilot phase of the e-SOR program in Wake and Johnston counties operating as test sites. The pilot project evaluated e-SOR operational procedures and technical processes so to minimize unexpected issues when deployed statewide. The pilot project also allowed opportunities to fine-tune the e-SOR roll-out and to identify training strategy necessary to make e-SOR a success. In January 2011, the e-SOR program went live statewide for all Sheriffs' Offices as the standard fingerprinting of sex offender registrants in North Carolina.

SEQUENCE FOR REGISTRATION OF A SEX OFFENDER

In order to successfully register a sex offender, it is critical to follow the steps provided below:

Step 1: **DCIN Registration of Offender**

A Sex Offender Registration (SOR) must first be entered into the National Crime Information Center (NCIC) database. This NCIC record is created through the SBI's Division of Criminal Information Network (DCIN). This step must be completed prior to fingerprinting the registrant. This component remains unchanged.

Step 2: **Electronic Capturing the Fingerprint Images**

The DCIN registration of the sex offender must be done prior to capturing the fingerprints. The Sex Offender Registration Number (SRN) is required to complete the fingerprinting and electronic submission to the SBI. The SRN is created during the DCIN registration step. After completion of the DCIN registration, follow the instructions below for completing the registration process.

NOTIFICATIONS PROVIDED TO REGISTERING SHERIFF'S OFFICE

1. **Live-Scan Response (SRE)**

A Submission Result (SRE) is a response that will be received at the submitting live-scan device indicating the results of the State fingerprint search.

2. **DCIN Success Notification**

The DCIN Success Notification is a message sent to the appropriate DCIN terminal at the Sheriff's Office indicating the offender has successfully been registered. The Sheriff's Office designates which DCIN terminal will receive the notification.

3. **Rap Back Notification**

The Rap Back Notification is an automated message generated when a registrant has been arrested, fingerprinted, and fingerprints submitted to the SBI for another crime in the state of North Carolina. The message is sent to the appropriate DCIN terminal previously identified by the Sheriff's Office. Any follow-up to the Rap Back Notification is the discretion of the registering Sheriff's Office.

SBI CONTACT INFORMATION

Live-scan questions regarding DataWorks Plus Live-Scan devices should be directed to:

AFIS Technical Unit

SBI Criminal Information & Identification Section

Phone: (919) 662 - 4500 ext. 6330

Fax: (919) 661-4890

Email: CIISHelp@ncdoj.gov

Questions regarding registering sex offenders in North Carolina should be directed to:

SOCU — Sex Offender Coordination Unit

SBI Criminal Information & Identification Section

Phone: (919) 662 - 4500

Fax: (919) 661 - 6172

Email: SORHelp@ncdoj.gov



WEBSITES

North Carolina Sex Offender Registry

<http://sexoffender.ncdoj.gov/>

National Sex Offender Public Registry

www.nsopw.gov



STEP ONE: Opening the Registered Sex Offender Workflow

1. From the home page, click and highlight the NC Criminal options button, located on the upper left side of the screen.
2. Click "Capture" located right beneath the NC Criminal Options button.

STEP TWO: Entering Data (Demographics)

The first tab along the top will be for data entry. Enter in the required information within the data pages. The required information will be highlighted in yellow until entered. You may leave all other fields blank **except** when the DCIN/NCIC response to the QSO (*Query Sex Offender*) shows a middle name or initial and/or a suffix. Name and DOB must be entered exactly and entirely as shown on the **QSO response** even though screen may indicate optional fields (*no yellow highlight*).

1. **Last Name** → Complete last name of the subject
2. **First Name** → Complete first name of the subject [no nicknames or street names]
* If QSO provides Middle Name or Suffix → Complete optional fields
3. **Sex** → M or F
4. **Race** → A - Asian or Pacific Islander , B - Black, I - Indian or Alaskan Native, W - White ,
U -Unknown
5. **Date of Birth** → Enter in numeric format: mm/dd/yyyy
6. **Type of Transaction** → Click to obtain a drop-down list and select the SOR – Sex Offender Registration Workflow.
7. **NC Fingerprint Card Type** → "Registered Sex Offender" will pre-fill this space once the Type of Transaction is selected.
8. **SORN** → Sex Offender Registration Number
9. Click the little arrow at the bottom right side of the screen to move to the next page of descriptor entry.
10. **Official taking fingerprints** → Person taking fingerprints enters: first name + last name
11. The Data Entry phase is now complete. Click on tab 2 "Fingerprints" to continue.

STEP THREE: Taking Electronic Fingerprints Using DataWorks Plus Live-Scan**A. Add Fingerprint Images:**

Click the Fingerprint Icon (the top button, located at the top left of the screen) that looks like a fingerprint in order to add fingerprint images.

B. The order to take fingerprints is as follows:

1. Right Slap
2. Left Slap
3. Left Thumb Slap
4. Right Thumb Slap
5. Right Fingers Rolled Individually
6. Left Fingers Rolled Individually
7. Right Writers Palm
8. Right Palm
9. Left Writers Palm
10. Left Palm

C. Take Fingerprints:

1. Follow the instructions written in red and located at the bottom of the screen.
2. After obtaining each required image click “Next” button or depress foot pedal
3. Once all images are taken click “Save”

D. Plain Impressions:

1. Using the larger glass plate, center the hands in the block.
2. Angle the fingerprints no more than 45 degrees to ensure that all fingers are present in the block.
3. Press lightly on the fingers to ensure they are flat against the glass.
4. Depress the foot pedal and hold the thumbs in place until the system beeps
5. If the impressions are acceptable the next process will display. If there is a scanning error the system will state the problem.

E. Abnormal Fingers**1. Split Thumbs**

- a. Roll the portion that is innermost as best as can be obtained.
- b. In the demographics, enter a note of the situation in the "Additional Identifying Data" block.

2. Webbed Fingers

- a. Roll the fingers as completely as possible.
- b. In the demographics, enter a note of the situation in the "Additional Identifying Data" block.

3. Extra Fingers on the Hand

- a. Occasionally a person will have more than 10 fingers.
- b. If this happens, roll only the first five fingers, starting from the thumb.
- c. In the demographics, enter a note of the situation in the "Additional Identifying Data" block.

4. Scanning Fingers

- a. Roll thumbs toward the center of the body and the fingers out.
- b. Place the finger on the small glass plate.
- c. Center the finger over the target.
- d. Roll the finger to the side.
- e. Depress the pedal and roll the finger.
- f. If the impressions are acceptable the system will beep and the next process will display. If there is a scanning error the system will state the problem.

F. Scanning the Writer's Palms

1. Place the blade on the large glass plate.
2. Ensure the whole blade is represented. You may be able to obtain good impressions with the hand straight. If unable to see good detail, curl the hand inward and at a slight angle. You need to obtain the side of the palm and the finger simultaneously.
3. Depress the pedal and hold the writer's palm in place until the system beeps. If the impressions are acceptable the next process will display. If there is a scanning error the system state the problem.

G. Scanning Palms

1. Place the palm flat on the large glass plate
2. Center the palm.
3. Press slightly on the back of the hand to ensure the fullest detail.
4. Depress the pedal and hold the palm in place until the system beeps.
5. If the impressions are acceptable the next process will display.
If there is a scanning error the system will state the problem.

H. Impressions are *TOO LIGHT*

1. Dry fingers, Aged/Worn, or "Occupational hands" can be helped by hand washing and using lotion such as *Corn Huskers Lotion*.
2. The subject's fingers can also be "milked" in order to create further blood flow to the tips of the fingers enabling the ridges to "puff up" to a level that would enhance the fingerprints.
3. You can also moisten each finger before printing. Wet a towel and wring out all the moisture possible. Before printing a finger, touch it to the moist towel. The prints will appear darker and fuller. You may also use the towel to clear the glass between prints, using a dry towel to remove any moisture on the screen. If using this procedure, make sure the towel is completely drip-free. No water should get under the glass plate and into the scanner's prism.

I. False Marks in Fingerprint Block

1. False markings can be a result of a failure to clean the equipment.
2. Cleaning the glass or wiping between fingerprints with a clean dry towel or rag will reduce the appearance of false markings.

J. Details of Fingerprints Missing

1. Focal points (delta and core) need to be present in all loops and whorls.
2. The whole first joint of the finger should appear: tip to crease and nail to nail.
3. Blurred or smeared impressions will have a higher likelihood of being rejected.
4. The FBI compares the rolled impressions to the plain impressions.
→ If the FBI cannot discern that the prints are the same, the FBI will reject them.
5. Using electronic live-scan devices, fingers that are to be printed must be cleaned and somewhat moist. Using lotions and slight moisture on the scanning surface helps an electronic live-scan device obtain clear impressions.

K. Review Fingerprints

1. Each finger will have a colored square around it.
2. Green means that the image is of good quality
3. Red means that the fingerprint is of questionable quality and may need to be re-rolled in an attempt to obtain a better quality impression.
 - a. IF you need to re-roll an impression
 - b. Click on the finger
 - c. The system will take you through the process of rescanning the image.
4. If all prints are acceptable, click on SAVE and EXIT.

L. Printing Card(s)

1. Click on the Printer icon to print card.
2. A window will pop up in which you will make a selection of what to print.
3. In order to obtain a SOR fingerprint card, highlight "NCSBI Sex Offender Card"
4. Click OK

M. Submitting Card(s)

1. Click on Tab 4 → TRANSACTION /STATUS
2. Highlight the correct case.
3. Click SUBMIT located at the lower center of the screen.
4. The system will tell the user that the transmission was successful.

STEP FOUR: Understanding Mailbox Responses

Your agency will receive a message in its mailbox after the fingerprint submission is transmitted electronically. It is the agency's responsibility to ensure the return messages are placed in the Sex Offenders file. If the results are received as an ERRT (Error Message), it is the agency's responsibility to follow-through and reprocess the individual.

Sex offenders are required by N.C. General Statute 14-208.5 through 14-208.45 to be registered to North Carolina's Sex Offender Registry database which includes fingerprinting. The N.C. state standard of e-SOR now ensures those fingerprints are transmitted to and retained in the SAFIS database in accordance with the immediate availability requirement of 14-208.14. If the fingerprints are rejected, the sex offender must be reprocessed.

After a fingerprint packet is processed the responses will drop into the POP server. DataWorks Plus retrieves the packets and distributes it to the appropriate personnel via e-mail. The user will retrieve those messages as follows:

A. Opening the Mailbox

There are three different types of responses you can receive in the mailbox: SBI Non-Ident, SBI Ident, and ERRT.

1. Open tab 4 → TRANSACTION/STATUS
2. Locate the correct case
3. Highlight the case
4. Click SELECT
5. View the message

B. SBI Search Results

1. Under the subject, you will see whether it is a NON-IDENT or IDENT case.
2. The 581 response is represented with the SBI's ORI over itself.
3. This means it was sent to the SBI. The response is formulated from the 581.
4. Click on the REPORT icon to obtain printable and more descriptive results.

C. NON-IDENT Responses will Contain:

1. Phrase 'NON IDENT'
2. EFN
3. North Carolina SID Number [if available]
4. Name submitted by your agency
5. FBI number [if available]
6. Attention Indicator [if specified]
7. OCA [If available]

D. IDENT Responses will Contain:

1. Phrase 'IDENT'
2. EFN
3. North Carolina SID Number on record with the SBI
4. Name submitted by your agency
5. FBI number [if available]
6. Attention Indicator [if specified]
7. OCA [If available]

E. ERRT Messages

1. If code ERRT is in the Type column, click on ERROR TRANSACTION tab to see the reason for rejection.
2. The reason for rejection will be in the large white space on the lower half of the screen.
3. Print a paper copy for the Sex Offender's file → click PRINT tab
4. If a card was rejected, it will not be on file at the state or federal levels.
 - a. SBI maintains as many prints as possible at the state level even if the FBI rejects them.
 - b. The SBI may have no choice but to reject fingerprints that were taken with too few characteristics to be properly classified.
 - c. If person is already out-of-custody, the agency must obtain a new set of fingerprints to submit to the SBI.
5. The agency will also receive a reject letter by U.S. mail from the Sex Offender Coordination Unit explaining that the submitted packet was unable to be processed and give the reason for the reject.
6. Each agency is required to resubmit new fingerprints as soon as possible after the reject message has been received.