

N.C. STATE BUREAU OF INVESTIGATION



e-SOR

Instructions for MorphoTrak 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 identifies 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

Questions regarding Morpho Trak Live-Scan devices (Printrak LSS4000) 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 Toolbar on the right side of the screen, click on the tab that has 4 arrows twisting away from a central point.
2. This will open the Workflow Manager which will give the user the selection between Applicant, Criminal, and Registered Sex Offender workflows.
3. Click the "Registered Sex Offender" work flow on the left side of the screen.
Whenever a process is completed, a checkmark will appear → ✓
4. The booking number which shows at the bottom of the screen will consecutively change with each set of fingerprints taken.
5. On the left side of the screen is a list of processes to be completed.
A checkmark will appear after each has been completed.
6. Click on the "NEXT" tab located on the lower right side of the screen
7. This will bring up the descriptors to be filled out appropriately so that they will print out on the fingerprint card.
8. Ask the applicant for a driver's license or other identification to ensure that the correct person is being fingerprinted.

STEP TWO: Entering Demographics

Fields for SORN, Name, and DOB must be entered exactly and entirely as shown on the DCIN/NCIC response to the QSO (*Query Sex Offender*).

1. **EFN** → Electronic Fingerprint Number *without* TOT code is automatically generated
2. **SORN** → Sex Offender Registration Number
3. **Name** → Complete name of the subject: last,first middle suffix [no space between last & first name]
4. **Date of Birth** → Enter in numeric format: mm/dd/yyyy
5. **Sex** → M or F
6. **Contributor** → Agency submitting the fingerprints
7. **Official Taking Fingerprints** → Person taking fingerprints enters: first name + last name
8. **Date Fingerprinted** → Field is pre-filled with the current date
9. **Type of Transaction** → "Registered Sex Offender" will pre-filled this space
10. **Fingerprint card Type** → SOR: Return Completed SOR Card to live-scan

11. EFP and TOT

Once the Type of Transaction has been selected, the field will be computer-generated. It will be the same as the EFN but will have "28" in front of it.

EFN Breakdown:

- a. Example EFN: 2804322010160003
- b. Broken Down: 28 043 2 2010 160 003
- c. 28 = Sex Offender Registration Card [10 = CAR, I1=CNA, 40= MAP, 41=NFUF]
- d. 043 = County code for Alamance County (assigned, not alphabetical)
- e. 28 = Their second live-scan device
- f. 2010 = Year in which the prints were taken
- g. 160 = Julian Date (June 9th) [January 1st would be 001]
- h. 003 = Third print of the day

12. Override → No is pre-filled**13.** Once done with the demographics, click NEXT.

This will start the process of taking the fingerprints. [See Step Three: *Taking Fingerprints*]

STEP THREE: Taking Electronic Fingerprints Using MorphoTrak Live-Scan (Printrak LSS4000)**A. The order to take fingerprints is as follows:**

1. Thumbs
2. Right Plain Impressions
3. Right fingers individually
4. Left Fingers Individually
5. Left Plain Impressions
6. Right Palm
7. Right Writer's Palm
8. Left Palm
9. Left Writer's Palm

B. Thumb Impressions

1. Using the larger glass plate, take your time to center the thumbs in the two blocks.
2. For best results, use a little pressure to hold the thumbs in place.
3. Depress the foot pedal and hold the thumbs in place until the system beeps.
4. Once scan is complete, depress pedal to proceed to the right plain impressions.

C. 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. Once scan is complete, depress pedal to proceed to the individual rolled impressions.

D. Abnormal Finger Types

If the individual has an abnormal finger (Amputee, Bandaged, Deformed, Scarred), when you are asked to roll that finger, click on the OPTIONS tab. Do not attempt to roll the second joint on an amputated finger.

1. Select Type of Problem for abnormal finger by click on radio button to the left → ☉
 - a. Amputee
 - b. Bandaged
 - c. Deformed
 - d. Scarred
 - e. None → If selected, you will be required to roll the fingerprint when you get back to the finger block.
2. Click OK
3. The color-coded finger sequence will tell you that this finger is EXEMPT.
→ This means that the prints are not mandatory in that block.
4. Depress the foot pedal or click NEXT to continue to the next finger.

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.
 - f. Wait for the system to beep
 - g. Roll the finger while watching it display across the screen.
 - h. If subject is an applicant, click NEXT to proceed to the Quality Review process.
 - i. If the subject is a criminal, continue on to scan the palms.
- F. 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 best detail.
 4. Depress the pedal and hold the palm in place until the system beeps.
 5. Once scan is complete, depress the pedal to move on to the Writer's Palm (Blade).
- G. 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.
 4. Once the scan is complete, depress the pedal to move on to the Left Palm.

5. Continue with the left hand and scan the Palm Impression and Writer's Palm in the same fashion used to scan the right hand.
6. Once finished scanning the fingers, depress the foot pedal to continue on to the Case Summary / Quality Review Check.

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. Printing Card(s)

1. If you need more than one SOR fingerprint card, highlight the booking number for that card, click PRINT, then click PLUS SIGN.
2. If you need to stop a card from printing, click on that card type, then click DELETE PRINT REQUEST.
3. If you need to add another type of card to be printed, click ADD PRINT REQUEST, select the type of card to add, then click OK.
4. The device will let you know that it is submitting your print request.
5. Click OK to proceed.
6. Click FINISH to end the process.
7. If your device is set up to submit automatically, it will do so after the card prints.
8. Once the transaction has begun, a notification window will pop up to indicate the system is submitting your print request to SAFIS.
9. Agencies that participate in the Secure Communities Program are set up to auto-submit the fingerprint card after the cards print.
→ Simply click OK to begin this process.
10. If an agency does not participate in Secure Communities, you will go into the File Cabinet and print your card from there. [See *Submitting Fingerprint Cards*]

L. Exiting the Workflow

1. Once the card is completed, you will be sent back to the Registered Sex Offender Bookings Screen. You may not know which type of work flow that you will need next, so exiting the workflow is a good idea.
2. Click FINISH on the Registered Sex Offender Booking Screen
3. The system will ask if you really want to quit → click YES.
4. You can close out completely by exiting the Workflow Manager.

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.

A. Opening the Mailbox

1. Open the mailbox by clicking on the picture of the mailbox on the toolbar.
2. Once opened, click NIST FIELDS along the top if not already showing.
3. There are three different types of responses you can receive in the mailbox.
 - a. SBI NON-IDENT
 - b. SBIIDENT
 - c. ERRT

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 being 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.