

Appendix 5: NGI Rap Back Subscription Management Plans

Version 2.1 – June 1, 2014

Subscription Management Plans

Submitters must decide upon and implement an appropriate Subscription Management Plan for subscriptions they submit

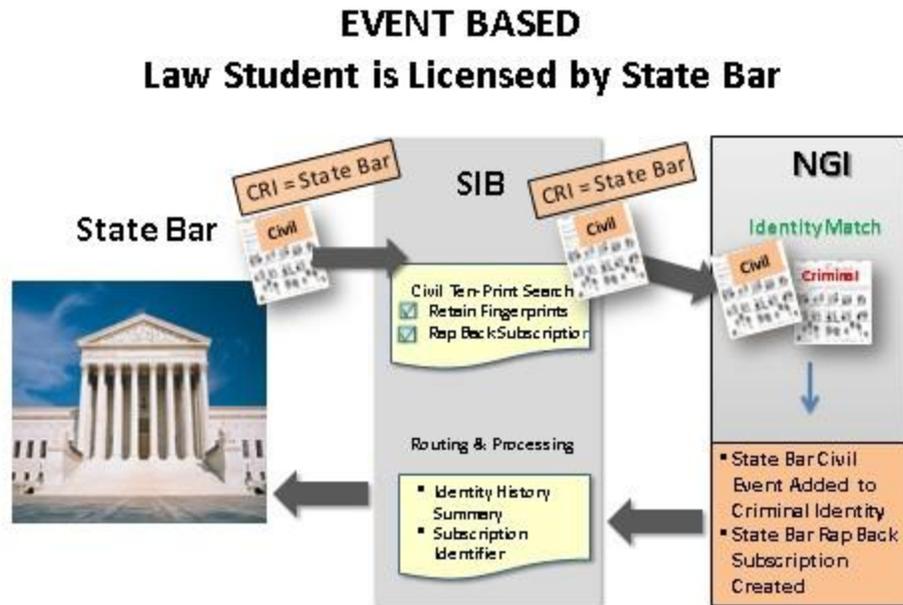
The design of the NGI Rap Back Service provides Submitting Entities a choice between two alternatives for how to manage the subscriptions they submit to NGI: Event Based Subscription Management and Category Based Subscription Management. The goal is allow states or Federal Submitting Agencies with current Rap Back services to more easily integrate the national system, and allow states and federal agencies starting new services to decide the best means for them to take advantage of the national service.

A. EVENT-BASED SUBSCRIPTION MANAGEMENT

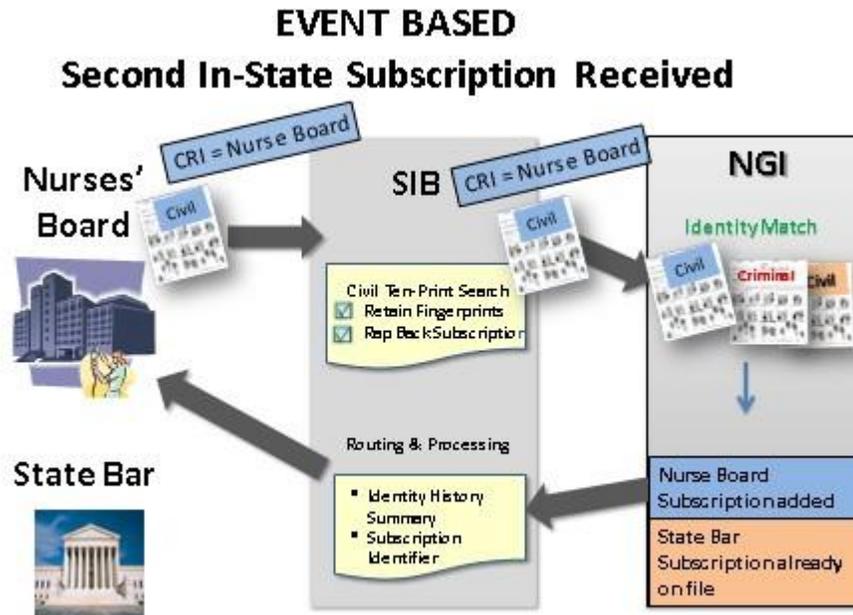
The Submitter establishes a new NGI Rap Back subscription for each subscription request from a Subscribing Entity.

Separate NGI subscriptions are set on the same NGI Identity for each subscription event for that person—each application for a license, application for a covered governmental job, application to volunteer, etc. The subscription is based upon the civil event.

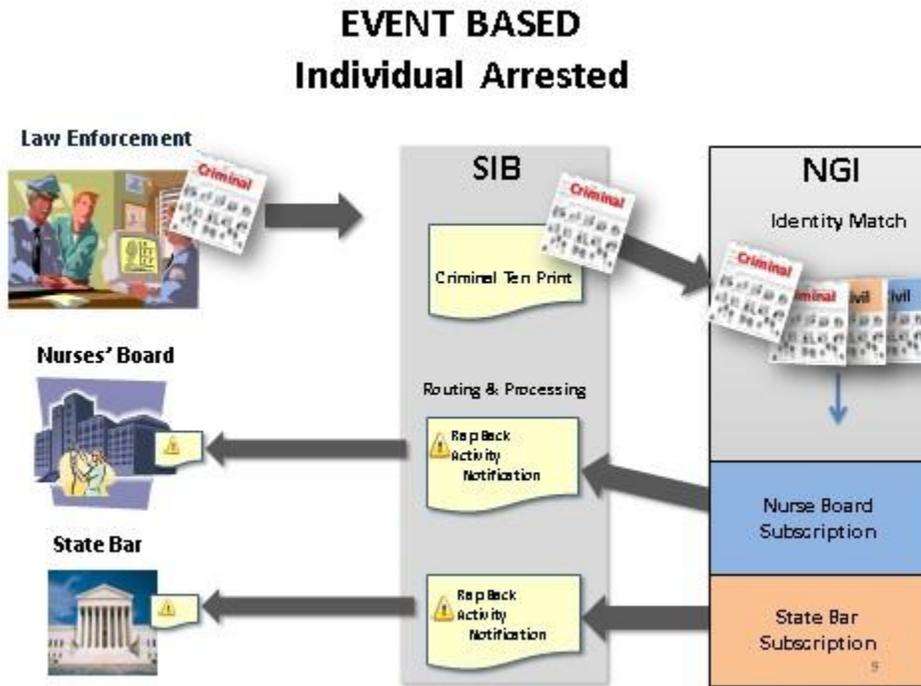
The graphics below show how this works for a person who gets a law license, then adds a nurse's license, and is subsequently arrested. The SIB sets one NGI subscription based upon the fingerprints from the state Bar and identifies the State Bar as the Subscriber in the NGI Rap Back record (in the CRI field), shown as the tan colored subscription for demonstration purposes. The example shows a match to a criminal NGI Identity with non-disqualifying CHRI.



Then, when the lawyer decides to also become a nurse, the SIB adds another NGI subscription to the same NGI Identity, this time with the Nurses' Licensing Board in the CRI field of the subscription request related to that license event—shown in the below graphic as the blue colored subscription for demonstration purposes. That subscription request must be supported by the fingerprints from the Nurses' Board. This process creates separate subscriptions on the same Identity from the same Submitter (the SIB) for the two different Subscribers.



The SIB will then manage the subscriptions separately. A future criminal arrest or other “triggering” event against that Identity generates separate Rap Back Activity Notifications for each Subscription, as indicated in the third graphic, below. Each licensing entity is notified based upon the status and information in their separate subscriptions.



B. CATEGORY BASED SUBSCRIPTION MANAGEMENT

The Submitter establishes a single subscription for an NGI Identity for each identified Rap Back Category and tracks all subscriptions at the Submitter level, without any Subscriber information residing in NGI.

The Submitting Entity creates just one subscription for each identified Rap Back Category on an NGI Identity, and does not add any Subscriber information to the NGI record. The Submitter manages all adds, deletes, modifications, notifications, etc. for each NGI Category Based Rap Back subscription they maintain. The NGI Category Based subscription is based upon the Submitter having one or more in-state or federal agency Rap Back subscriptions on this person in this Category.

The Category Based Subscription Management Approach is designed for those states or Federal Submitting Agencies that already have robust Rap Back Services and want to integrate the new NGI Rap Back Service into their existing functions.

The underlying concept is that the Submitter tracks all Rap Back subscription details in-state, or within the Federal Submitting Agency, and just sets one fingerprint-based NGI Rap Back subscription for the multiple local subscriptions on one person. Although the underlying idea is one NGI subscription per person, that is not possible because the different Purpose Codes associated with the different Categories may cause a different criminal history record to be generated for the different subscription Categories (see Category table, below). As such, the SIB or Federal Submitting Agency actually must create a different fingerprint-based NGI subscription for each Rap Back Category that a person may be subscribed to in-state or within the federal agency.

For example, if a person has a Security Clearance (maps to PUR/S) and is a teacher and a volunteer (map to PUR/I), the Submitter would have to create two subscriptions: One for the Security Clearance and one for the teaching school and volunteering. When NGI receives a future triggering event, they will send the Submitter a separate Rap Back Activity Notification for each of the two subscriptions, and those notifications may have different information in the Identity History Summaries (because they were created with different Purpose Codes derived from the different Categories). The Submitter will review their in-state or federal agency Rap Back records for that person, and then take the appropriate notification actions to whoever is subscribed in-state or in the federal agency files for that Category.

Since most non-criminal justice subscriptions will fall under the Volunteer, Child Care/School Employee, Non-Criminal Justice Employment and Licensing Category, only one subscription per person will often be all that is required under this approach.

Note: There is no data field in the Rap Back subscription record to indicate which Subscription Management Approach is being employed for that subscription. The Submitter is responsible for managing the subscriptions according to the chosen approach.

Rap Back Category	Rap Back Category Code	Maps to Purpose Code
Firearms	F	F
Volunteer, Child Care/School Employee, Non-Criminal Justice Employment and Licensing	I	I
Criminal Justice Employment	J	J
Criminal Justice Investigative	CI	C
Criminal Justice – Supervision	CS	C
Security Clearance Information Act	S	S

The below graphics demonstrate how Category Based Management would work as one NGI subscription for the law license and nurse license shown in the Event Based Subscription Management Approach, above. A Security Clearance is added to show how a second subscription is required for that as a different Rap Back Category.

Note: The emphasis of these graphics is to present the underlying concept of “Category Based” Subscription Management. At the same time, however, they also reflect the recommended flow for setting Category Based subscriptions, summarized as follows:

- Step 1: With the first in-state or federal agency subscription request, use the Search and Retain transaction to search the fingerprints and match or establish an NGI Identity for the person—but not set an NGI subscription.
- Step 2: Use the Subsequent Subscription transaction to set the Category Based subscription in NGI for that person in that Category. That transaction must include the same set of fingerprints that was included in the Search and Retain transaction. It must also include the FBI/UCN returned from the Search and Retain transaction, but it must NOT include the Event Identifier (EVI) that was returned from the Search and Retain transaction.
- Step 3: For additional subscriptions received by the Submitter for this person in this Category, do not send subscription information to NGI, but do send the additional sets of fingerprints to NGI using the FIS transaction.

This process flow will create the NGI Category Based subscription without linking it to any specific civil event. In this manner, the subscription is not subject to deletion when the related civil event is deleted. Note, however, that a set of fingerprints from the civil event will remain in file in that instance. Please see Setting the Subscription under the Category Based Management Approach on page 34 of the Guide. Also please refer to the discussion titled Deletion of Civil Events and Fingerprints, in Section C of this Appendix.

The law student applies to the State Bar. They submit her fingerprints to the SIB for a fingerprint-based background check and to set a Rap Back subscription. The SIB searches their own AFIS, finds no record, and creates an in-state Identity record for the person and adds an in- state Rap Back subscription. The SIB then forwards the fingerprints to NGI with a request to search the prints; retain the prints; but NOT place a Rap Back subscription on the prints. They do not include the State Bar’s ORI in the transaction, but rather put their own ORI in the CRI field, taking ownership of the fingerprint submission and, subsequently, the subscription.

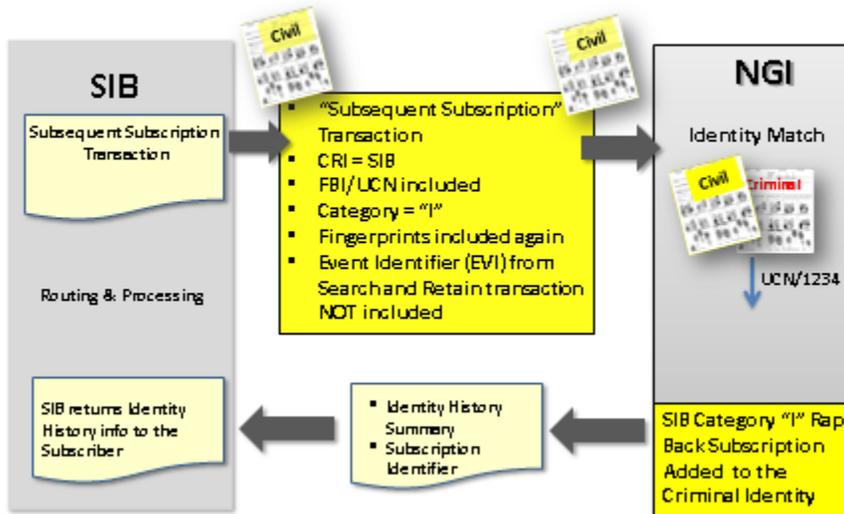
CATEGORY BASED Step 1: Submitting the Fingerprints Law Student is Licensed by Bar



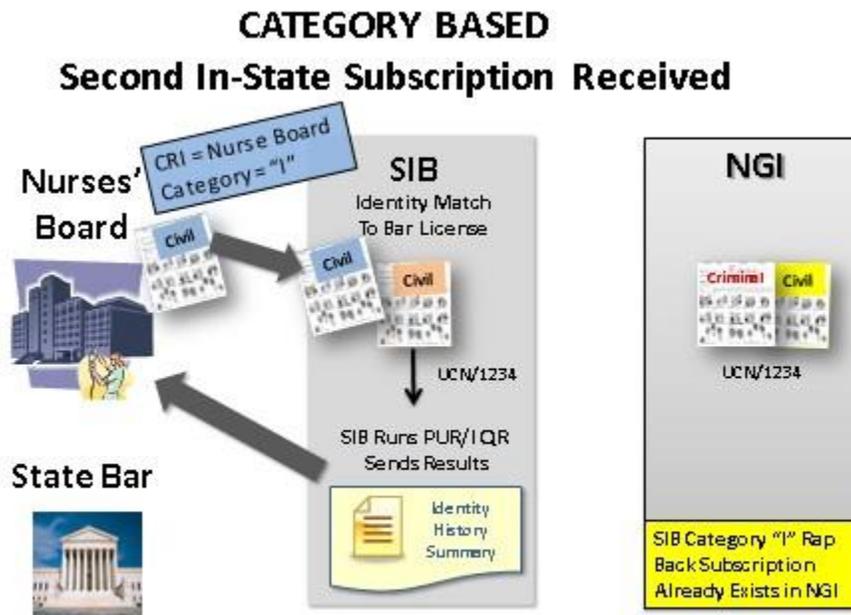
To follow the recommended process for setting an NGI Category Based Rap Back subscription, the SIB uses the Search and Retain transaction, even though the State Bar requests Search and Subscribe. The Bar experiences extremely low disqualification rate from the fingerprint search CHRI results. As such, at this point, the SIB could provide the criminal history to the State Bar for review, as shown in the graphic, or immediately use the Subsequent Subscription transaction to set the NGI Category Based subscription as soon as the Search and Retain results are received. A Submitter using Category Based Subscription Management should establish these protocols as each Subscriber begins participation.

The below graphic shows that the SIB forwards the Subsequent Subscription request to NGI with the same set of fingerprints that was included in the Search and Retain transaction. They also include their own ORI in the CRI field; the FBI/UCN from the Search and Retain transaction; and the Category Code set to "I". They do NOT include the Event Identifier (EVI) from the Search and Retain transaction. NGI establishes a Category "I" subscription and returns a new Identity History Summary to the Submitter. The subscription is shown in yellow in this example for demonstration purposes. Yellow is being used arbitrarily to represent subscriptions under the "Volunteer, Child Care/School Employee, Non-Criminal Justice Employment and Licensing" (PUR/I) Category.

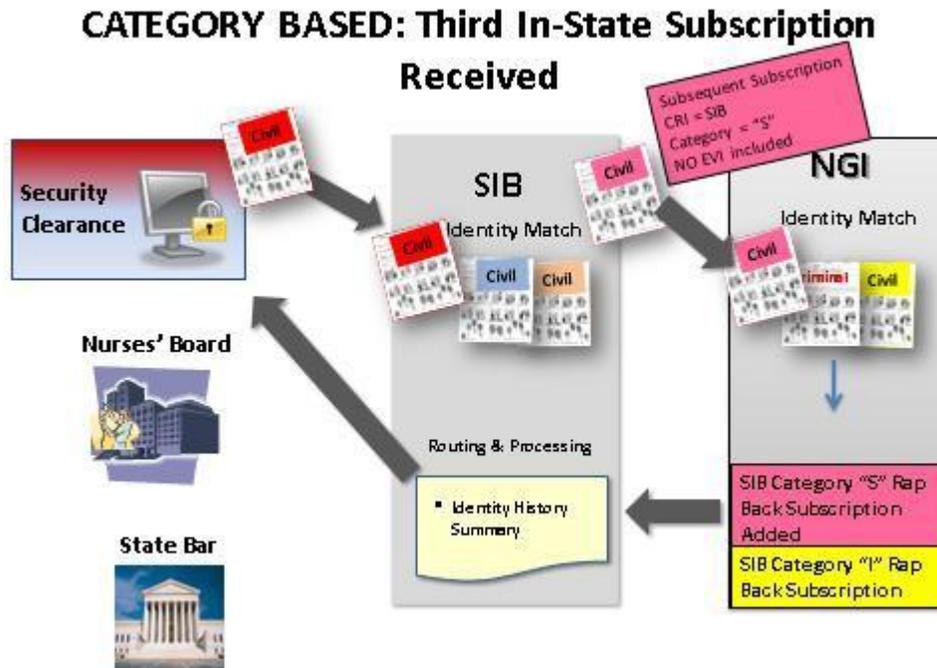
CATEGORY BASED Step 2: Requesting the Subscription Law Student is Licensed by Bar



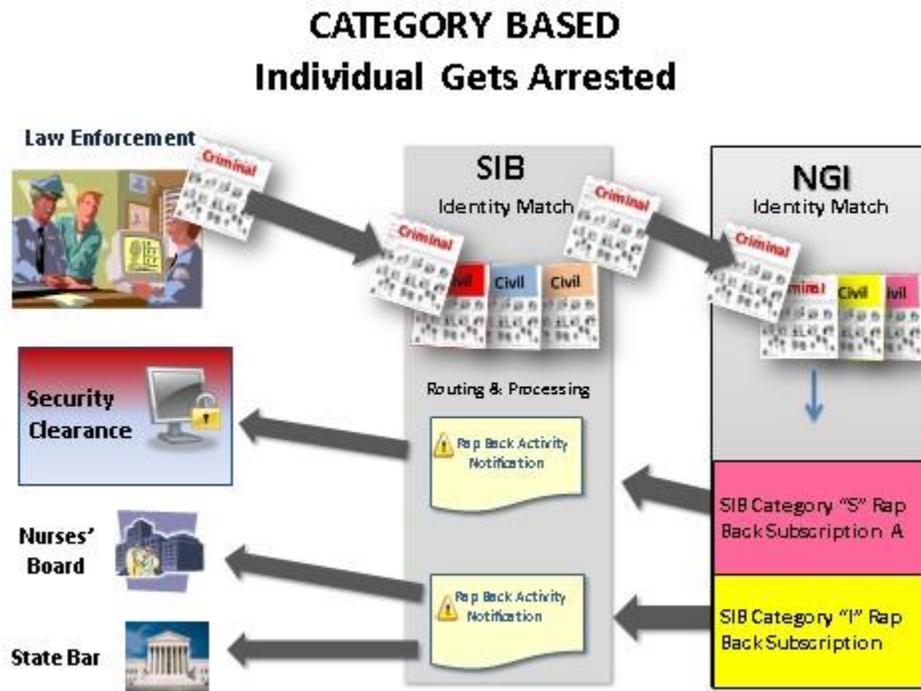
In the below graphic, the lawyer decides she wants to get a nurse's license and enter the medical field in addition to maintaining her lawyer's license. She submits her fingerprints to the Nurses' Board, who sends them to the SIB. The SIB matches the Nurses' Board fingerprint submission to the person's existing in-state Identity record that already contains her law license fingerprints. They add the in-state Rap Back subscription and respond to the Nurses' Board with the appropriate Identity History Summary, which does not contain disqualifying information. (The graphic shows that they use a PUR/I QR query. As an alternative, they could submit the fingerprints to NGI for search and response.) Since the Nurses' Board license is under the same Rap Back Category as the State Bar (Volunteer, Child Care/School Employee, Non-Criminal Justice Employment and Licensing), the SIB does not send a Rap Back subscription request to NGI. The SIB already has the one NGI Rap Back subscription under Category "I" and does not need to create another one under the Category Based Subscription Management Approach.



In the below graphic, the nurse moves into a government nursing position requiring a security clearance. The employer sends her fingerprints to the SIB to search for criminal history and to set a Rap Back subscription. The SIB matches those prints to the existing in-state Identity record that already has the State Bar fingerprints and the Nurses' Board fingerprints. The SIB responds with the Identity History Summary, which does not contain disqualifying information. Since the Security Clearance is in a different Rap Back Category, the SIB sends the fingerprints to NGI with a request that a Rap Back Category "S" Rap Back subscription be established. The SIB now has three subscriptions in their in-state Rap Back Service representing two different Rap Back Categories. Accordingly, they have two NGI Rap Back subscriptions, which represent those two Categories.



In the below graphic, the person gets arrested in another state in the future. The arresting police department in the other state sends the arrest fingerprints to their state's SIB, who forwards them to NGI. NGI matches them to the Identity that has the two Rap Back subscriptions from the subscribing state. NGI sends the subscribing state two different Rap Back Activity Notifications, one with the appropriate information for PUR/I and one with the appropriate information for PUR/S. The SIB compares those Rap Back Activity Notifications to their in-state Rap Back system and sends the PUR/S information to the government employer for the Security Clearance suitability, and forwards the appropriate PUR/I information to both the State Bar and the Nurses' Board. In each case, the SIB must use the appropriate Rap Back Activity Notification Format, which is not necessarily included in the Rap Back Activity Notification from NGI, but rather must be determined from the in-state files. See further discussions in Section C, below.



C. CONSIDERATIONS FOR WHICH SUBSCRIPTION MANAGEMENT APPROACH TO USE

Regarding Event Based Subscription Management

With Event Based Subscription Management, a Submitter with an existing in-state or Federal Submitting Agency Rap Back Service stores the subscriptions locally and then creates corresponding subscriptions in the NGI System that closely mirror the information in the in-state or Federal Submitting Agency system. A state or federal agency that is just creating a new Rap Back Service could write the NGI rules into their program to make alignment of the programs easier.

One of the biggest challenges is in coordinating the in-state or Federal Submitting Agency and NGI responses to the Subscribers. It will be necessary with Event Based Subscription Management to either include the NGI subscription Rap Back Activity Notifications (or the information contained in them) with the in-state or Federal Submitting Agency notices (for those subscriptions that are in both), or to tell the Subscribers they will receive separate local and NGI notifications.

It is not necessary for state and federal Submitters to have in-state or federal Rap Back systems. NGI can be used as the Submitter's only Rap Back Service. It is highly recommended that states and Federal Submitting Agencies with no in-state or federal Rap Back Service participate in the NGI's Rap Back Service using the Event Based Subscription Management Approach.

One option when a state SIB or Federal Submitting Agency is creating a new Rap Back Service is to use Event Based Subscription Management and not create a full service in-state or federal Rap Back program, but rather simply build the state or federal piece as a pass through and allow NGI's Rap Back Service to hold the data. That is the SIB or Federal Submitting Agency has all the logic and automation to gather and format the data from the Subscribers in-state or from the Federal Submitting Agency's Subscribers, but passes the storage and maintenance transactions to NGI. The state or federal Submitter would also have to have the records and administrative processes to manage the Privacy Strategies, monthly subscription lists, and other Rap Back functions. This approach to implementing NGI's Rap Back will only work if the state is passing all criminal history and other potential triggering events to NGI to hit against those subscriptions on the NGI Identities.

Regarding Category Based Subscription Management

The Category Based Subscription Management Approach is intended to give options to those state SIBs and Federal Submitting Agencies that already have robust Rap Back systems in place (or those states or federal agencies building new state Rap Back systems) and want the NGI Service to be as minimally disruptive as possible for them. Although that is the goal, managing the NGI Category Based subscriptions can become complicated when more than one subscription exists for a person in a Category. This Section of the Appendix discusses some of those considerations, but as NGI's Rap Back Service is implemented and Submitters work with this approach, additional considerations will likely arise. As such, any Submitter considering Category Based Subscription Management must contact CJIS to discuss how this approach is being implemented.

The Category Based approach is intended to allow the state or federal agency to manage all its subscriptions out of its existing Rap Back system, but add the NGI notifications from future out-of-state events. To obtain the NGI information on its in-state or federal agency subscription, the Submitter is just putting a “Submitter-owned” subscription on the corresponding NGI Identity indicating the existence of one or more in-state or federal agency Rap Back subscriptions on this person in this Category. They do not have to put the licensing/employment or other applicant entity anywhere in the NGI record. When a triggering event occurs in the future for that person, NGI will notify the Submitter without knowing the Subscribing Entity—or Entities—or the privacy strategies being used with them (that’s all the state’s or federal agency’s responsibility). The SIB or Federal Submitting Agency will sort out who the notification goes to, what Rap Back Activity Notification Format they receive (pre-notification; triggering event; or, triggering event and Identity History Summary); what linking information they used, etc. from the information in their in-state or federal agency Rap Back system.

Key to making the Category Based approach work is the state and Federal Submitting Agency understanding how to manage the subscription data. For example, the SIB or Federal Submitting Agency must track the following elements for each subscription in the in-state or federal agency Rap Back system:

- Subscription Term;
- Expiration Date;
- NGI Privacy Strategy and NGI Rap Back Activity Notification Format;
- User defined fields and linking information;
- Rap Back Attention.

These are critical data elements for the Submitter to track, because they may be different for different subscriptions on the same person in the same Category. As such, they cannot all be represented for each Subscriber in the NGI subscription under the Category Based approach. The subscriptions on the same person may often have different values for these fields, and the Submitter needs to be able to process any future Rap Back Activity Notifications, Monthly Validation/Expiration Lists, Rap Back Renewal Notifications or other messages correctly for the NGI subscription based upon the information in the in-state or federal agency subscriptions. For example, a Submitter could receive the following two subscriptions in this order:

1. A teacher’s subscription
 - a. Privacy Strategy #2: Authority for Duration of a License;
 - b. Expiration Date in five years;
 - c. Lifetime Term.
2. A volunteer subscription
 - a. Privacy Strategy #1: Pre-Notification with Mandatory Validation/Expiration within Three Years;
 - b. Expiration Date in three years;
 - c. Five-year Term.

Under the Category Based Approach, the Submitting Entity has to decide what information to put in the NGI Subscription for the above fields. The Submitter needs to be able to process any future Rap Back Activity Notifications, Monthly Validation/Expiration Lists, Rap Back Renewal Notifications or other messages correctly for the NGI subscription based upon the information in the state subscriptions.

Subscription Term and Expiration Date

It is permissible to put the broadest values from the in-state or federal agency subscriptions in the NGI subscription. That is, if the SIB or Federal Submitting Agency receives the teacher application first, they would normally put in the lifetime Term (and pay the lifetime fee) and put in a five year Expiration Date.

Then, when the volunteer subscription is received, the Submitter has to review the NGI subscription to see if it should be modified. For example, they could do one of the following:

1. The recommended action is to leave the NGI Subscription as it is, and use their existing Submitter-level validation process to validate the volunteer Submitter-maintained subscription every three years. No fee would have to be paid to NGI when the volunteer entity renews the Submitter-maintained subscription every five years. The NGI monthly validation process would include this NGI subscription every five years. At that time the teacher licensing board would validate their authority, which would validate the NGI Category Based subscription. Since it is a lifetime term, no future fee will be paid on the subscription.
2. As an alternative, the Submitter could change the NGI Expiration Date to three years from the date the volunteer subscription was received. In that instance the NGI monthly validation process would include this NGI Category Based subscription in the monthly validation/expiration list once every three years, to be in synchronization with the volunteer subscription's validation schedule. However, in that case, the Submitter would have to use their Submitter level validation process to validate the teacher subscription every five years.

The Submitter may choose whichever process will best fit for themselves and the Subscribers. In either case, the Submitter has committed to validating the NGI Category Based subscription. In addition, they must maintain the validation of the Submitter-maintained subscription that is not visible to NGI on a schedule under one of the Privacy Strategies.

For discussion, if the volunteer subscription had been received first and they had set the NGI Category Based subscription to a three year Expiration Date and a 5-year Subscription Term, then when the teacher subscription is received they would have to consider different choices. The Subscription Term cannot be modified, so if they wanted to change the NGI Subscription Term to lifetime, based upon the teacher's license subscription, they would have to create a new NGI subscription with lifetime Term, pay the lifetime fee, and cancel the previous NGI subscription.

Regarding the Expiration Date, they could do one of the following:

1. The recommended action is to change the NGI Subscription's Expiration Date to five years based upon the teacher subscription. Then the Submitter would have to keep track of the three-year validation that they've agreed to perform on the volunteer subscription.

Or

2. As an alternative, leave the subscription Expiration Date at three years and continue to manage the NGI Category Based subscription validation/expiration based upon the expiration schedule of the volunteer Submitter-maintained subscription. If that volunteer subscription ends, they would have to change the Expiration Date of the NGI subscription to reflect the validation/expiration schedule of the teacher Submitter-maintained subscription. In addition, the Submitter would have to ensure

that their system reflected the end of the volunteer subscription so the volunteer association does not receive any future Rap Back Activity Notifications from the Category Based NGI Subscription still being maintained on authority of the teacher license.

Privacy Strategy and Rap Back Activity Notification Format

It is permissible for the Submitter to put the broadest Rap Back Activity Notification Format (Triggering Event and Identity History Summary) in the NGI subscription—regardless of the Privacy Strategies being employed for the state or federal agency subscriptions—but then only provide the state or Federal Submitting Agency Subscribers with the appropriate information. That is, the Submitter could receive the Triggering Event and Identity History Summary from NGI for a subscription that is employing a pre-notification Privacy Strategy. Then, they would have to use an internal pre-notification process and only give the entire Triggering Event and Identity History Summary after pre-notification had been completed. The Submitter is entrusted with not giving the Identity History Summary directly to a Subscribing Entity whose privacy strategy requires pre-notification. When a future Rap Back Activity Notification is provided, the Submitter has to review their records to see which format is appropriate to each Subscriber and provide notifications accordingly.

Of course, if the subscription uses a Privacy Strategy requiring pre-notification, the submitter can simply use “pre-notification” as the Rap Back Activity Notification Format in the NGI subscription.

As above, if the volunteer subscription had been the first subscription received, the Submitter would likely have set the NGI subscription Rap Back Activity Notification Format to “pre-notification” with an Expiration Date of three years.

Then, when the person gets her 5-year teacher license, the Submitter would not have to add that subscription to NGI, but it is recommended they modify the Rap Back Activity Notification Format of the existing NGI Subscription to “Triggering Event and Identity History Summary”. Then, when they received a future Rap Back Activity Notification, they would just pass the Triggering Event and Identity History Summary right to the teacher licensing board, but they would have to use an internal process to only give the volunteer association “Pre-Notification” information, followed up by the full information if the volunteer association verified they were still authorized to receive it.

The User Defined Fields and Rap Back Attention

The linking information from the User Defined Fields and the Rap Back Attention field would have to be in the internal records rather than the NGI subscription. When future Rap Back Activity Notifications are received the Submitter has to review their records to see which User Defined and Rap Back Attention information goes to which Subscriber and include that information accordingly.

Management of Fees

The Submitting Entity has to manage fee collection for both their Submitter-maintained subscriptions and their NGI subscriptions, taking into consideration that not all applicants in the same Category have to pay an NGI subscription fee, and as shown in the example, there may be cases where a Submitter-maintained subscription requires Renewal every two or five years, but it is subscribed to an NGI Identity that has another subscription in that same Category with a lifetime Term. In that instance, NGI will generate validation/expiration lists at appropriate intervals, but those lists will never cause a renewal of that Category based subscription, just the repeated extension of the Expiration Date. The Submitter-level renewal process for the Submitter-maintained subscription will not submit any future renewal fees to NGI.

The key is that it is up to the Submitter to track all subscription related information within their Rap Back system and implement it according to the NGI Rap Back rules, which they have agreed to apply to their Submitter-maintained subscriptions as a part of using the Category Based Subscription Management approach. As they do that, they must also be able to manage with their Subscribers when they will and will not have to pay fees to NGI.

An additional consideration regarding fees under the Category Based approach is that Submitters will have to reconcile billing without itemized assistance from FBI CJIS. Since Category Based subscriptions are all entered with the Submitter's ORI in the ORI and CRI fields, the subscription bills from NGI for Category Based Submitters will show just one total for the Submitter's subscriptions, all itemized to the Submitter. The Submitter will have to have audit processes in place to be able to reconcile the Rap Back Subscription fees to be charged to each Subscriber, without additional information from CJIS.

Deletion of Civil Events and Fingerprints

If the applicant has the statutory authority and asks for his application event information to be removed from NGI, the Submitter will perform a Civil Event Deletion Request (CDEL) transaction as discussed in EBTS Section 3.6.7. The delete transaction will include the following information that was returned to the Submitter/Subscriber from the original Search and Retain civil Tenprint Fingerprint Identification Submission transaction:

1. The FBI/UCN of the NGI Identity that was matched or created as a result of that submission; and,
2. The civil Event Identifier (EVI) created for that civil retain submission.

The CDEL transaction will remove the civil event information associated with that UCN and EVI. The fingerprints associated with that UCN and EVI will also be removed—if the NGI Identity does not have any criminal information associated with it at the time of the CDEL transaction. *This deletion will also cause any NGI Rap Back subscription (Event Based or Category Based) associated with that UCN **and** EVI to be deleted.*

This result can be a problem for Category Based Submitters if the person has a second Submitter-level subscription that should still be referenced by an NGI Category Based subscription. This problem can be avoided if the Submitter uses the recommended two-step process for establishing Category Based Subscriptions:

1. Search the fingerprints with the Search and Retain Tenprint Fingerprint Identification Submission, rather than the Search and Subscribe Tenprint Fingerprint Identification Submission.
2. Then set the NGI Category Based subscription with the Subsequent Subscription transaction:
 - a. Including the UCN received in response to the Search and Retain Submission;
 - b. Including the same set of fingerprints that was included with the Search and Retain Submission;
 - c. NOT including the EVI received in response to the Search and Retain Submission; and,
 - d. Including the other EBTS fields for the Subsequent Subscription.

This Subsequent Subscription transaction will establish the NGI Category Based subscription as its own event, without linking it to the earlier Search and Retain submission event. As a result, if that earlier civil event is deleted with the CDEL transaction, the NGI Identity and the NGI Category Based subscription will both remain in file.

Please refer to the discussion under Setting the Subscription under the Category Based Management Approach on page 34 of the Guide.

Conclusion

The Submitter should implement Subscription Management in a manner that best fits their situation. The intention is to give the existing states/federal agencies some options for integrating NGI's Rap Back with their programs—and to provide options for states/federal agencies creating new programs.