



Deval L. Patrick, Governor  
Richard A. Davey, Secretary & CEO

**massDOT**  
Massachusetts Department of Transportation

September 2, 2014

Nashwa Gewaily  
ACLU of Massachusetts  
211 Congress Street  
Boston, MA 02110

Re: Public Records Request/personal information dissemination and facial recognition procedures

Dear Attorney Gewaily:

The Registry of Motor Vehicles responds to your request for public records as follows:

Request 1: All records, including written communications, legal memos, memoranda of understanding, training materials, and operating procedures, describing the dissemination, sharing or disclosure of personal and biometric information to or with the National Counterterrorism Center. This includes the Center's Directorate of Terrorist identities.

Response 1: There are no records responsive to this request.

Request 2: Any written communications, including memoranda of understanding or agreement, between the RMV and the FBI relating to the use of facial recognition technologies or the dissemination of licensee photographs.

Response 2: There are no records responsive to this request.

Request 3: Any written communications, including memoranda of understanding or agreement, between the RMV and any other federal, state or local agencies, or any private corporation, relating to the use of facial recognition technologies.

Response 3: See the attached documents.

Request 4: All records of grants and grant applications relating to facial recognition technologies and their use for FY 2015 and preceding years.

Response 4: See the attached documents.

Request 5: Records describing standards and procedures relating to requests by law enforcement or any government agency for licensee photographs, facial recognition searches, or access to the photograph repository by law enforcement personnel. "Law enforcement" includes federal, state and local law enforcement agencies.

Ten Park Plaza, Suite 4160, Boston, MA 02116  
Tel: 857-368-4636, TTY: 857-368-0655

Response 5: See the attached documents.

Request 6: Training materials (including trainer notes, outlines, curricula, and/or PowerPoint presentations) describing the dissemination, deletion, or retention of both face prints and facial recognition search results.

Response 6: See the attached documents.

Request 7: Any audits or reports relating to the use of facial recognition technologies.

Response 7: There are no records responsive to this request.

Request 8: Records concerning complaints about, investigations of, and/or disciplinary actions related to the misuse or abuse of facial recognition technologies.

Response 8: The RMV objects to this request as written as it requests information relating to "investigatory materials necessarily compiled out of the public view by law enforcement or other investigatory officials the disclosure of which materials would probably so prejudice the possibility of effective law enforcement that such disclosure would not be in the public interest" (M.G.L. c. 4, §7(26)(f)). In addition the request is for documents contained in "personnel . . . files or information; also any other materials or data relating to a specifically named individual, the disclosure of which may constitute an unwarranted invasion of personal privacy; (M.G.L. c. 4, §7(26)(f)). such information and records is specifically exempt by statute from public disclosure. Without waiving its objection the RMV states that it has no documents or records responsive to this request.

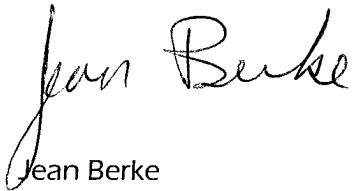
Request 9: Legal justifications or memos concerning the dissemination of licensee photographs, face prints, and or facial recognition outputs to outside agencies.

Response 9: There are no records responsive to this request. The RMV relies upon the Driver Privacy Protection Act at 18 USC 2721 et. seq. in regard to the dissemination of this information.

Request 10: Privacy policies, guidelines, or directives regarding the use of facial recognition technologies, and the retention and dissemination of data produced by such technologies.

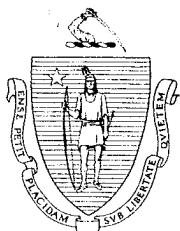
Response 10: See documents responsive to requests 3, 5 and 6 generally. In addition to the attached documents, the federal Driver Privacy Protection Act, 18 USC 2721 governs the dissemination of photoimages by motor vehicle agencies.

Very truly yours,

A handwritten signature in cursive script that reads "Jean Berke". The signature is written in black ink and is positioned above the printed name and title.

Jean Berke  
Deputy General Counsel

Encls.



# The Commonwealth of Massachusetts Executive Office of Public Safety

One Ashburton Place  
Boston, Massachusetts 02108

Tel: (617) 727-7775

TTY Tel: (617) 727-6618

Fax: (617) 727-4764

[www.mass.gov/eops](http://www.mass.gov/eops)

**Mitt Romney**  
Governor

**Edward A. Flynn**  
Secretary

**Kerry Healey**  
Lieutenant Governor

June 14, 2005

**BY HAND**

Secretary John Cogliano  
Executive Office of Transportation  
10 Park Plaza, Suite 3170  
Boston, MA 02116

Dear Secretary Cogliano:

Enclosed please find an original **Memorandum of Agreement relating to Homeland Security and Criminal Investigative Efforts related to Motor Vehicle Functions**.

Please sign and date the original Agreement together with Registrar Hinden at your meeting on Thursday, June 16, 2005 and return the original to me.

Thank you for your prompt attention to this matter. Please do not hesitate to contact me if you have any questions.

Sincerely,

Susan M. Prosnitz  
General Counsel

MEMORANDUM OF AGREEMENT

RELATING TO HOMELAND SECURITY AND CRIMINAL

INVESTIGATIVE EFFORTS RELATED TO MOTOR VEHICLE FUNCTIONS

AGREEMENT made as of this 16<sup>th</sup> day of June 2005, by and between THE DEPARTMENT OF THE STATE POLICE (hereinafter "the State Police"), an agency of the Commonwealth of Massachusetts, pursuant to Chapter 22C of the General Laws, having a usual place of business at 470 Worcester Road, Framingham, MA 01702, and THE REGISTRY OF MOTOR VEHICLES (hereinafter "the RMV"), also an agency of the Commonwealth of Massachusetts, pursuant to Chapter 16, section 9, of the General Laws, having a usual place of business at One Copley Place, Boston, MA 02116

WHEREAS: The State Police is a state law enforcement agency authorized by the laws of the Commonwealth to provide for the safety of the public and homeland security for the Commonwealth; and

WHEREAS: The State Police pursuant to Chapter 412 of the Acts of 1991 are the police agency for the RMV; and

WHEREAS: The RMV is the state agency authorized by law to issue driver's licenses, permits and other identification documents to citizens of the Commonwealth; and

WHEREAS: In November 2004, the RMV implemented a new RMV license which will be extremely difficult to counterfeit for the purpose of preventing fraudulent identification from getting into the hands of terrorists and other criminals.

WHEREAS: A cooperative and focused effort put forth by members of the Executive Office of Public Safety, Registry of Motor Vehicles and Department of State Police resulted in the creation of this new license.

WHEREAS: The State Police and the RMV seek to address homeland security issues highlighted by the 9/11 attacks that relate to driver's license issuance, administration, and authenticity.

WHEREAS: The State Police and the RMV seek to detect and apprehend terrorists and others who use the driver's license for criminal purposes.

WHEREAS: The State Police and the RMV, with the support of the respective Secretariats, the Executive Office of Public Safety (hereinafter "the EOPS") and the Executive Office of Transportation (hereinafter "the EOT"), do hereby declare that homeland security dictates the necessity of coordination and cooperation between the State Police and the RMV.

NOW, THEREFORE, WITNESSETH that the State Police and the RMV, for and in full consideration of keeping and performing the mutual covenants and conditions hereinafter stated, do hereby agree as follows:

A. In accordance with G.L. c. 22C, the MSP Compliance Unit shall be reorganized, the duties revised, and the name changed to be an investigative unit within the Division of Investigative Services. For purposes of this MOA, the term "MSP Compliance Unit" shall refer to the current unit and the unit it will be changed to. The MSP Compliance Unit Commander shall report directly to the Lt. Colonel of the Division of Investigative Services, or the Lt. Colonel's designee.

B. The Registry shall be responsible for investigating purely administrative violations of its employees such as attendance issues, insubordination, or rudeness to customers. The MSP shall be responsible for investigating allegations/complaints where there is any indicia of possible criminal activity, such as fraud by a RMV employee, an applicant of an RMV document, or a licensee, theft, or illegally selling RMV licenses, or allegations/complaints which have potential homeland security implications.

1. Screening at in-take shall take place by a designated MSP Compliance Unit member, together with a designated RMV employee at the MSP Compliance Unit. At in-take, those allegations/complaints deemed by the MSP to have any indicia of possible criminal activity/homeland security implications shall be immediately submitted directly to the MSP Compliance Unit. The remaining allegations/complaints that are deemed purely administrative shall be immediately submitted to the RMV SIU, provided however, that if the RMV SIU upon investigation finds that what was initially deemed to be a purely administrative matter turns out to have any indicia of potential criminal activity/homeland security implications, the RMV SIU shall immediately refer that case to the MSP Compliance Unit. The RMV and MSP shall develop a protocol for screening so investigations are initiated as soon as possible.
2. Any criminal or homeland security allegations shall be investigated solely by the MSP. The MSP Compliance Unit Commander shall routinely update the Registrar or the Registrar's designee about the status of investigations to ensure that the Registry takes no administrative action, send any correspondence, or interview any witnesses that may potentially compromise an investigation. The MSP Compliance Unit Commander shall notify promptly the Registrar or the Registrar's designee of all instances in which a Registry employee is the subject of an investigation. In instances when an RMV employee is the subject of an investigation and the RMV has suspended administrative action at the request of

the MSP Compliance Unit, the MSP Compliance Unit Commander shall inform the Registrar or the Registrar's designee when the employee can be notified of termination, terminated or subject to any other administrative action by the Registry. The Registrar and Registrar's designee shall keep investigation information confidential.

3. Any investigations deemed non-criminal/non-homeland security allegations shall be forwarded to the RMV Special Investigations Unit by the MSP Compliance Unit for appropriate administrative action.
4. The RMV shall in consultation with the MSP, create a bulletin and e-mail notification informing RMV employees that they shall report any indicia of possible criminal activity, such as fraud by a RMV employee, an applicant of an RMV document, or a licensee, theft, or illegal selling of RMV licenses, directly to the MSP Compliance Unit and the MSP Compliance Unit's number shall be provided. The Registry shall also inform its staff on how to report to the RMV, purely administrative violations, having no indicia of potential criminal activity, of its employees such as attendance issues, insubordination, or rudeness to customers.

C. The MSP shall ensure that secure computers are put into the MSP Compliance Unit that can only be accessed by MSP personnel and be linked to MSP securely. Such computers shall be a communication link to the Fusion Center and shall include, but not be limited to, facial recognition technology information, as it becomes available. All costs for such equipment, necessary cabling, network administration, upkeep and maintenance and any other associated costs shall be borne solely by the MSP.

D. The RMV shall provide the MSP with full access to Document Direct which includes ALARS, GREENBAR, the Suspension Decision Screen (SD Screen), which is a RMV database that tracks license suspensions, revocations, and reinstatements of drivers licenses, and any other screen, code or database it needs to access to investigate or deter potentially criminal activity or any activity that could negatively impact homeland security.

1. The Commander of the MSP Compliance Unit shall give the names of the unit members who need such access to the Registrar or the Registrar's designee.
2. The RMV shall provide individualized passcodes to each unit member for access.

E. Unverified Social Security Numbers on Drivers Licenses

1. The RMV is verifying its entire driver license database on an accelerated basis for social security number verification.

2. The RMV shall create a list of unverified social security numbers categorized by the reason that the social security number fails to verify. The list shall be provided to the MSP Compliance Unit. For renewals, the RMV shall provide a categorized list of unverified social security numbers to the MSP Compliance Unit in a mutually agreeable time period prior to the license renewal date.
3. The MSP Compliance Unit shall coordinate with the RMV regarding processing of licenses with unverified social security numbers. The MSP and RMV shall develop and implement as quickly as possible a process to suspend appropriate licenses with unverified social security numbers. The process shall take into account notifications and the flagging of licenses so the driver will not be able to convert an unverified Massachusetts license to that of another state's. The process shall also explore handling unverified social security numbers in a similar way as done by the New York Department of Motor Vehicles. The MSP and the RMV understand that this suspension activity is absolutely necessary in order to report the issue to the National Driver Register (NDR), which will prevent the driver from converting a Massachusetts license to that of another state's.
4. The RMV and MSP shall develop and implement as quickly as possible a process for licenses to be cleared.

F. Visas

1. The RMV shall establish at each branch location a separate window for first time applicants converting an out-of-state license or coming from another country. It shall be the goal of the RMV for each branch to have technology that will detect fraudulent documents, subject to funding for technical and staff resources, which the RMV shall make best efforts to procure. Until such time, the 5 document verification machines currently possessed by the RMV shall be used at those branch windows that process the most first time applicants converting an out-of-state license or coming from another country. As the RMV acquires more document verification machines it shall continue to place them at those branch windows processing the highest volume of first time applicants converting an out-of-state license or coming from another country.
2. Each branch window as described above shall have authorized RMV personnel at the window who have completed training in fraudulent visa and license documents that has been approved by the RMV, in consultation with the MSP.
3. The MSP and RMV shall develop and implement as quickly as possible a process by which quick response troopers can make arrests of those who try to obtain



driver's licenses or other RMV identification using fraudulent documents.

4. The RMV shall seek as soon as possible to have the ICE SAVE program put in place which is an on-line verification of visa status similar to that of the on-line social security number verification system.

#### G. Facial Recognition

1. The RMV shall implement a facial recognition system for driver's licenses and other RMV issued identification. The RMV shall run the facial recognition program to ascertain individuals with multiple driver's licenses and other RMV issued identification. The RMV shall make best efforts to procure funding so that a database scrub can be done as quickly as feasible. As soon as such funding is procured, the RMV shall work with the MSP to identify a manageable "scrub" protocol that will review the entire license image database, starting with priority licenses. The RMV shall make best efforts to explore all available funding sources within the Executive Office of Public Safety, the Executive Office of Transportation and by state and federal grants so that the entire license image database is scrubbed as quickly as possible after the start date of the vendor's contract.
2. The RMV shall run every applicant and renewal through the facial recognition program .
3. The MSP Compliance Unit shall be immediately and directly notified of any individual with multiple driver's licenses and/or other RMV issued identification.
4. The RMV and MSP shall work with the facial recognition software vendor to screen the images from covert licenses beforehand so that they are not on the list of those individuals with multiple driver's licenses and/or RMV issued identification.
5. The MSP Compliance Unit shall investigate all individuals with multiple driver's licenses and/or other RMV issued identification and shall inform the Registrar or the Registrar's designee of the results of these investigations in order for the RMV to take the appropriate administrative actions.

#### H. Covert Licenses and Confidential Plates

1. The Colonel of the MSP shall designate an individual who shall determine the eligibility and issuance of covert licenses and confidential plates to MSP personnel. Any civilian who has a need-to-know access to covert license or plate

information shall be required to pass a background check by the MSP, which shall be updated as needed, such determination to be made by the MSP Compliance Unit but in no event more than two years. Prior to access, each civilian shall sign a statement saying that he/she will affirmatively inform the RMV and MSP Compliance Unit if they have been arrested or charged with any criminal violation. The RMV shall ensure that the MSP Compliance Unit has an updated list of those with access to covert license or plate information. The MSP shall ensure that the background check is currently valid for each person on the list. The Registrar shall be notified by the MSP of any employee that fails a background check immediately upon that determination being made by the MSP. With the exception of the disclosure to the Registrar or Colonel, the results of any of the background checks performed by the MSP shall be strictly confidential.

2. The MSP Compliance Unit shall coordinate with the RMV to create the histories of covert licenses, correct LTH screens of covert licenses as required, and have a designated RMV employee be the sole entry point for data input regarding covert licenses.
3. The RMV will maintain the covert licenses in a secure area with access only to RMV personnel, who have passed the MSP background check, and a trooper assigned to that area by the Colonel. The RMV shall maximally protect the confidentiality of those individuals coming to the secure spaces for covert licenses. The data shall be maintained in a database only accessible to RMV personnel who have passed the MSP background check. The MSP Compliance Unit shall have access to all MSP covert licensees/confidential plates and all covert licensees/confidential plates of those agencies that have provided written authorization to the RMV authorizing such access to the MSP, and as needed for criminal investigations.
4. The RMV shall have tracking software in the covert license and confidential plate database that shall identify the person inquiring, the time of inquiry, and the target of the inquiry whenever an inquiry is made of this database. Any RMV authorized employee shall be mandated by a policy developed by the RMV in consultation with the MSP to immediately notify the MSP Compliance Unit whenever any unauthorized person is inquiring about, or asking them to query a covert license, confidential plate or requesting information about the holders, as long as the holder has provided written authorization to the RMV for the agency to disclose the matter to the MSP. Whenever an inquiry is made in any form regarding a covert license/confidential plate of any MSP employee, any other state employee, or victim, a RMV representative and MSP Compliance Unit member shall immediately notify the target of the inquiry and provide the relevant information. The MSP Compliance Unit shall investigate immediately. The MSP

shall do the same for any federal agency that has given the MSP authority to do so in writing. It shall be the responsibility of the RMV to immediately obtain such written authorization and immediately inform the MSP of such authorization upon receipt. The RMV shall immediately provide to the MSP a list of federal agencies that have personnel with covert licenses or confidential plates.

I. Temporary Licenses and Learners Permits

1. The RMV shall eliminate paper temporary licenses and paper learners permits as soon as practical but not later than three years.
2. For the interim, as soon as possible after the signing of this MOA, the RMV shall have on the back and front of temporary paper licenses and paper learners permits, the words, "Not Valid for ID Purposes," and put the licenses and permits on security paper.

J. This Agreement shall be effective upon the date of final signatures and will remain in effect unless modified by mutual written agreement or terminated at the proposal of either party, with the written approval by both the Secretary of Public Safety and the Secretary of the Executive Office of Transportation, provided however, that after one year from the effective date, the two Secretaries may review the MOU to determine whether it is necessary. If they determine it is not necessary, they can terminate this MOU at that time by a mutually executed written document stating as such. Any proposed amendments to this agreement shall require prior written approval by both the Secretaries of the Executive Office of Public Safety and of the Executive Office of Transportation.

K. If any part of this Agreement is determined to be invalid, illegal, or unenforceable, such determination shall not affect the validity, legality, or enforceability of any other part of this Agreement, and the remaining parts of this Agreement shall be enforced as if such invalid, illegal, or unenforceable part were not contained herein.

L. Whenever, by the terms of this instrument, notices may or are to be given either to the other, such notices shall be deemed to have been given if in writing and either delivered by hand or by United States mail, to the State Police, to:

Office of the Superintendent  
Department of the State Police  
470 Worcester Road  
Framingham, MA 01702  
cc: Office of the Chief Legal Counsel

and to the RMV to:

Office of the Registrar  
Registry of Motor Vehicles  
One Copley Place  
Boston, MA 02116  
cc: Office of the Registry Liaison to the MSP

or to such other address or addresses as may be specified by either party to the other by like notice.

M. Modifications or amendments to this Agreement shall be in writing and duly executed by both parties to be effective.

N. The rights, liabilities, agreements and obligations herein granted and set forth shall inure to the benefit of and be binding upon the successors, assigns, agents, representatives, and transferees of the Commonwealth of Massachusetts, as applicable, and shall inure to the benefit of and be binding upon the successors, assigns, agents, representatives, and transferees, as applicable, and upon all other persons claiming by, through or under the Commonwealth of Massachusetts.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed in duplicate originals under seal as of this 16<sup>th</sup> day of June, 2005.

COMMONWEALTH OF MASSACHUSETTS  
DEPARTMENT OF THE STATE POLICE



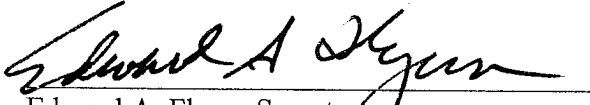
Thomas G. Robbins, Colonel

COMMONWEALTH OF MASSACHUSETTS  
REGISTRY OF MOTOR VEHICLES




Kimberly Hayden, Registrar

APPROVED:

  
\_\_\_\_\_  
Edward A. Flynn, Secretary  
Executive Office of Public Safety

APPROVED:

  
\_\_\_\_\_  
John Cogliano, Secretary  
Executive Office of Transportation



THE COMMONWEALTH OF MASSACHUSETTS  
EXECUTIVE OFFICE OF TRANSPORTATION  
REGISTRY OF MOTOR VEHICLES

**EOT**

MITT ROMNEY  
GOVERNOR

KERRY HEALEY  
LIEUTENANT GOVERNOR

JOHN COGLIANO  
SECRETARY

ANNE L. COLLINS  
REGISTRAR

TO: Massachusetts Law Enforcement Personnel  
FROM: Anne L. Collins, Registrar  
DATE: October 31, 2006  
RE: Facial Recognition Assistance at RMV

I am writing with good news. The RMV, with the help of Massachusetts State Police, has implemented an amazing Facial Recognition System that allows a digital image – such as a license photo – to be compared against the 9.5 million images in the RMV database to identify potential “matches.” State Police and RMV staff have been using this tool since May 2006 and have successfully identified many individuals who have fraudulently applied for multiple licenses or IDs.

The newest improvement to the Facial Recognition System may help your law enforcement team. We are now able to accept digital images – such as digital mug shots – by email and compare them against the photos in the RMV database. For example, State Police recently used this tool to assist a medical examiner who was trying to identify a “John Doe.”

If you would like an image run through the Facial Recognition System, please **email** a request to [RMV-DL-FacialRecES@MassMail.State.MA.US](mailto:RMV-DL-FacialRecES@MassMail.State.MA.US). All requests should include:

- the name of your law enforcement department,
- the name of a contact person, and
- a call-back number.

Only requests received from official law enforcement email addresses can be accepted. (No personal emails will be answered.) Although the Facial Recognition Team may be reached by phone at 617-973-8952, we ask that you call only in emergencies.

When the Facial Recognition Team has run your subject and reviewed the potential matches, they will contact you by telephone. As appropriate, they will direct you to the CJIS Web so you can see the image of the subject or compare multiple images. If you are still uncertain about the results, you may come to the Facial Recognition office at the State Transportation Building, 10 Park Plaza, Boston, MA to compare hard copies of the matches. You may also prefer to have the hard copies for court purposes. Due to privacy issues, however, we are unable to send the results over the internet.

I look forward to the successes that will arise out of this collaboration and I assure you the Facial Recognition Team will do our best to assist you.

Although it appears the Facial Recognition System is “looking” at the photos, it actually converts each face into a map of thousands of data points, then compares those points. For example, it maps each subject’s eyes and measures the distance between the pupils, then searches for other images with the same distance. The System does not compare some factors that might otherwise distinguish one person from another, such as height, age, or ethnicity. Therefore, the better the quality of the image you can send, the better the potential matches will be.

**The following guidelines should be used when sending images to be run through the system.**

Facial Recognition Email Address: [RMV-DL-FacialRecES@MassMail.State.MA.US](mailto:RMV-DL-FacialRecES@MassMail.State.MA.US)

### Ideal Image Parameters

#### 1. Maximum Size

- a. 1024 by 1024 pixels
- b. 2 megabytes

Note: Image properties in MSPAINT can be used to display actual image size.

#### 2. Type

- a. JPEG minimum compression (to fit 2 MB)
- b. BMP

#### 3. Cropping/ Zoom

- a. Head comprises approximately 80% of image height (small bit of shoulders)
- b. Head comprises 70% of width

#### 4. Direction

- a. Subject should be facing directly into camera
- b. Slightly left or right is acceptable (maximum 10 degrees)
- c. Never from below

#### 5. Lighting

- a. Lighting should be as bright as possible
- b. Avoid dark shadows near the bottom of the face

#### 6. Originals vs. Copies

- a. The original image should be submitted for optimum results.
- b. Every time the image is copied it is changed slightly
- c. The investigating officer should only use Photo Shop or similar software on the original image if an adjustment is required.

#### 7. Eyeglasses

- a. If images are available with and without glasses, both should be sent.

## FMCSA Grant Approval

***Proposal: Fraud Prevention – Facial Recognition Technology- \$250,000***

The attached CDL Grant Proposal meets OMB Requirements and will substantially improve the integrity and effectiveness of the Commercial Driver's License Program in Massachusetts.

This proposal will address fraud which is one of the 2005 CDL Program Priorities. The MA RMV has identified and initiated legal action on fraudulent activities in the past and seeks to obtain the tools necessary to prevent fraudulent activities in the future. This funding would serve to prevent compromising the integrity of the Commercial Driver's License Program. The MA RMV is committed to preventing fraud as demonstrated by their commitment of additional state resources to this program.

The project will further enhance the RMV attempts to reduce the an individual from attempting to gain a fraudulent license, however the funding requested does not seem proportional to the population of CDL licensed drivers.

Richard R. Bates, Division Administrator – Massachusetts







U.S. Department  
of Transportation

Federal Motor Carrier  
Safety Administration

## Commercial Drivers License Program

The \_\_\_\_\_ Massachusetts Registry of Motor Vehicles \_\_\_\_\_ (State Lead Agency) hereby applies to the Federal Motor Carrier Safety Administration for a Federal grant authorized in Title XII of the Commercial Motor Vehicle Safety Act of 1986 (P.L. 99-570) and subsequent amendments thereto to enhance a Commercial Drivers License Program as described in this application.

- The State Agency plans to carry out the implementation of a Commercial Drivers License Program during Federal fiscal year (FY) \_\_\_\_\_ as described in the attached plan.
- The State Agency plans to carry out special projects of the Commercial Drivers License Program as described in the attached plan.

The Federal share will not exceed 80 percent of the total participating costs, unless otherwise indicated herein, incurred in performing the effort described in the attached State Plan. The State agrees to submit vouchers for the reimbursement of funds expended.

Kimberly Hinden  
(Typed Name)

Registry of Motor Vehicles  
(Organizational Unit)

  
(Signature)

P. O. Box 55889  
(Address or P.O. Box)

Registrar  
(Title)

Boston, MA 02205  
(City, State & Zip Code)

May 11, 2005  
(Date)

617-351-9000  
(Phone Number)

The collection of this information is authorized under the provisions of P.L. 97-424; P.L. 99-570; 49 U.S.C. 31101-31104 and P.L. 105-178.

Public reporting for this collection of information is estimated to be 30 minutes per response, including the time for reviewing instructions and completing and reviewing the collection of information. All responses to this collection of information are mandatory, and will be provided confidentiality to the extent allowed by law. Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a current valid OMB Control Number. The valid OMB Control Number for this information collection is 2126-0010. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Federal Motor Carrier Safety Administration, MC-MBI, U.S. Department of Transportation, Washington, D.C. 20590.

**FMCSA Grant Application – Fraud Prevention – Facial Recognition Technology**

The Massachusetts Registry of Motor Vehicles (RMV) hereby applies to the FMCSA for a portion of funding, (\$250,000), toward the purchase and implementation of facial recognition technology to be used in RMV daily business operations.

MA has 4,634,521 active licensed drivers in the state, of which 155,204 are licensed as Commercial Drivers. There are currently 2,626,873 driver's licenses in renewal status, not necessarily active.

Long term goals for improving the MA CDL program include:

- Continue to review and evaluate MA CDL program with an eye toward increasing security screening
- Improving customer service
- Expanding and improving on-line processes to provide the most secure and efficient system to customers
- Continue to explore technology opportunities and solutions with Federal partners to expand and improve ways of communicating electronically, in an effort to create a secure processing system for all involved; specifically with regard to exchanging information and image files
- Continue to build and implement an information system to incorporate all CDL license functions, CMV enforcement functions, and court functions

Examples of processes that are in place to ensure coordination between all parts of the CDL program (Licensing, Enforcement and Courts):

- The Massachusetts Registry of Motor Vehicles currently has the electronic capacity to process administrative per se and chemical test refusals from law enforcement agencies through CJIS links and the Office of Alcohol Testing.
- The RMV can also provide images and text back through that system for police and court prosecutors. The “missing link” continues to be the lack of automation within the courts.
- The RMV Chief Technology Officer is involved in planning and committee meetings with Criminal History Systems Board, Information Technology Division and Court personnel to attempt to identify and establish a solution to this problem.

The last compliance review at the MA RMV revealed the following issues which needed to be addressed. Following each issue, is the progress which has been made to date to correct the identified issue:

**CDL Compliance Review Issues – Progress to Date      April 2005**  
**Federal & State Requirements**

CDL Fingerprinting – TSA	Project successfully completed and implemented to date
School Bus Endorsement – “S” designation	Major complications in adding this endorsement to 15-year old system. Paper knowledge testing to begin last week in May. Will be completed by 9/30/05
Driving Records Request – CDL Holders	Accomplished in conjunction with AAMVA with PDPS process using unique identifier – major problem: specs not yet received from AAMV
Notification of CMV violations to home state	Part of ACD working group convened by IT staff – working with AAMVA -project on-going – All CDL violations already electronically transferred to state of record
Notification of all traffic violations to home state	Same as above
FMCSA Revocation Periods – OUI – CTR – Admin Per Se	Part of ACD working group – dependent upon AAMVA compliance and specifications
State Revocation Periods OUI – CTR – Admin Per Se	Legislation submitting by RMV attorneys to Governor’s office for filing; have been advised that filing will take place in the next few weeks with the legislature
CDL Hardship Licenses	Massachusetts does not issue CDL hardship licenses
CDLIS Reporting and Record Check Requirements	Project Implementation successfully completed May 18, 2005
Immediate Threat Status	The MA RMV Registrar currently has the authority to implement this, and is now done through posting on CDLIS

### **Problem/ Need Statement**

In light of recent arrests at the MA RMV for licensing fraud, the agency has worked closely with (its previous Secretariat), the Executive Office of Public Safety, (EOPS), to explore business solutions to curb fraud. If unchecked, license fraud rears its head in many devastating directions: identity fraud, underage drinking, licensing of undocumented aliens, licensing of unqualified and dangerous drivers, to name a few potential problem areas.

After many months of meetings with and demonstrations from the company who currently produces MA licenses and identification cards, the RMV has received the support and an agreement from EOPS for some funds to purchase and implement facial recognition technology at the MA RMV.

This technology is part of a comprehensive strategy to support the notion of one license, one identity, as well as to ensure that dangerous drivers, who are often the perpetrators of license fraud, are eliminated from the licensed driving population.

The end result of these efforts will be a reduction in the potential numbers of accidents caused by erroneously licensed passenger and commercial vehicle drivers.

As license sanctions and identity requirements have become more strict over the past few years, there has been an increasing number of incidents of fraud perpetrated to obtain a license in the first place. Convictions and arrests that may not previously have resulted in loss of license, now may mean the loss of livelihood and license for commercial drivers and Hazmat carriers. For someone whose adult life has been spent employed primarily as a truck driver, these consequences may lead that driver facing loss of license to attempt to obtain a license fraudulently, or to try to transfer their revoked or suspended license from another state, before the court conviction is recorded and recognized.

### **Objective**

The implementation of facial recognition technology will identify attempts at license fraud that involve:

- 1) an individual with two or more licenses under different names
- 2) different individuals holding the same license
- 3) attempts to alter signatures and facial features

The RMV wants to incorporate facial recognition technology into its daily business operations, believing that better upfront validation (which should occur with fraudulent document training and document authentication), along with production of a secure license, (new release in September, 2004), in combination with facial recognition technology will result in a truly secure licensing process. None of these solutions alone would enable the RMV to make that claim of security. But combined, these solutions can make a huge difference in the fight against fraud.

While no technology alone can combat this enormous threat, a comprehensive solution, carefully planned, can stop licensing fraud. If even one CDL holder, particularly one with an “H” endorsement, is stopped from skirting the laws and legitimate licensing issue, then the MA CDL program will have been improved, and public safety impacted (by keeping this driver off the road).

While the RMV is currently examining the purchase and implementation strategy which will be used to procure Facial Recognition technology, the RMV has been given cost estimates for implementation, services and purchase over a four-year time period.

While the funding from EOPS will not cover the entire cost of implementation of Facial Recognition technology completely, the RMV is currently considering what amount it can budget, and is seeking other funding assistance to procure this technology. Hence this request for a portion of the total \$2,879,832.50 cost for a four-year implementation strategy. While imaging each license and permit applicant for facial recognition purposes can begin immediately, and those images can be matched one at a time against the entire current RMV database, a long-term strategy is needed in order to “scrub” the existing licensing database and that population who will not be coming in “new” or for renewal until their license expiration in five years or less.

The overall goal is to decrease the numbers of licensees who currently have, or attempt to gain, a fraudulent license. In addition, the RMV is in the process of redefining its Special Investigation unit, and establishing a direct link with state police special investigators, since both parties will need to investigate the records and people turned up as suspicious by the facial recognition technology.

### **Project Description**

The RMV will develop a comprehensive business plan that incorporates document authentication technology, staff training, an on-line document verification system and facial recognition technology toward the end goal of establishing that every MA licensed driver, whether Commercial or passenger vehicle, has the legitimate right to be licensed and has one identity, and one license.

The facial recognition part of this plan works like this: the RMV is already positioned for facial recognition because its current license production vendor has a special software that it uses at every one of the RMV capture stations in the branch offices. This is where each person’s photograph is taken and their signature is digitized, along with their photo in the license production process. For facial recognition to work, every photograph has to be placed and cropped specifically; RMV photos have been taken in that particular manner for the last four years. Photos not in this format will need to be prepared from the Registry’s database of 7,261,394 images of licensed Massachusetts drivers.

As each person comes into the RMV to be licensed, first, all of their identity documents will be verified, then they will be photographed, regardless of whether they will actually receive a license or not. This means that if it is determined that a person is attempting to perpetrate fraud, both their documents and photograph have been captured and stored, and can be retrieved for an investigation.

At night, when all of the images captured that day are batched and sent to license production, every image is run through facial recognition software, that seeks to match every submitted image to one that is already in the database. Any questionable applicants or matches that appear problematic are again batched, removed from production, and returned to the RMV for examination.

The RMV will have their internal special investigation unit review these returned files, in order to identify any administrative anomalies, such as name change, twins, incompatible image structure, and the remaining images will be turned over to a state police investigative unit for further investigation, potentially arrest and maybe prosecution, dependent on the outcome of the investigation. It is estimated that the RMV will return approximately 500-600 images each night for next day examination, requiring full-time staff for the purpose of clearing or referring these images. The internal RMV investigator will gather all of the relevant driver history and other information useful to a police investigation, prior to turning the files over.

**Timeline**

Activity	Responsible Party	Date for Completion
Establish and convene procurement team to create RFR and/or determine whether contract can be sole-sourced	RMV legal staff , Deputy Registrar Erin Deveney and Chief Fiscal Officer Mary Ellen Kelley	June 30, 2005
Begin procurement process, select company qualified from which to purchase facial recognition system and services	Mary Ellen Kelley and Procurement Team	July 30, 2005
Decide customization (options) and integration of Facial Recognition with existing IT systems	John Fuller, Chief of IT in conjunction with all impacted managers including Lorraine Lague and Deputy Registrar Rachel Madden	August 15, 2005

Activity	Responsible Party	Date for Completion
Decide whether you want any other agency to be able to have access to your enrolled facial recognition images	Registrar and other high-level secretariat staff should meet with law enforcement agency officials and determine this issue	August 15, 2005
Once decision above is made, decide HOW you want any other agency to be able to have access to your enrolled facial recognition images	Same as above, but once decided, John Fuller and Deputy Registrar’s Rachel Madden and Erin Deveney should be involved	August 30, 2005
Within available funding, what can you accomplish?	All impacted RMV managers	August 30, 2005
Create audit system and solutions to inhibit fraud/continued mistakes – this should also serve as evaluation tool for program monitoring on an on-going basis	Cheryl Surrette, Audit Manager, Paula Tosca, Director of Special Operations, Deputy Registrars Erin Deveney and Rachel Madden, Director of Branch Operations Lorraine Lague	Prior to implementation of system in branches
Determine access to system and create security levels	John Fuller, Lorraine Lague, Rachel Madden, Cheryl Surrette, Registrar, Paula Tosca	Prior to implementation of system in branches
“Install” system and begin facial recognition matching	John Fuller, in cooperation with Lorraine Lague and all branch managers	Begin September 1 – end September 30, 2005

### **Evaluation**

The Director of Special Operations, in cooperation with the Directors of Audit and Branch Operations, will develop a process to audit and monitor all suspected fraudulent activity. This will include specially created reports and tracking that can be used to evaluate the results of the implementation of facial recognition technology.

A contracted person familiar with the CDL program and the facial recognition program will work in cooperation with the RMV Chief Fiscal officer and Information Technology staff to conduct interviews, gather information and write the quarterly reports to be submitted to the FMCSA.

This person will also interview involved branch managers and staff to gather relevant implementation and operations data.

The final investigative data will be analyzed to determine the outcome of investigations, which will specifically determine the usefulness, or not, of having facial recognition technology at the Registry of Motor Vehicles.

All recommendations will be in written form and distributed to all involved managers to use in senior staff decision-making efforts toward program improvement or change.



### Executive Summary/Abstract

Herbert Osgood, Director of Driver Licensing, is the contact person whose telephone number is 617-351-9028, and whose address is P.O. Box 55889 Boston, MA 02205.

The RMV is seeking a portion of the funding needed in the amount of \$250,00 to acquire facial recognition technology at the RMV. It has another commitment for some funding from the Executive Office of Public Safety, but not enough to meet the costs involved.

This system has the potential to be programmed with photographs and identification information from outside entities of terrorists and other people who may be on some type of targeted arrest or warrant list. In addition, a police or other law enforcement department or agency can give the RMV an artist's rendering of a suspect to run against the database and it will find that person if they are in the files.

What makes this project enormously expensive is the option to "scrub" the existing database. In other words, to determine how many licenses already IN the database, have a duplicate or questionable match in the database. Preliminary pilot testing of 120,000 images returned 96 such "matching" images.

This was "controlled" testing, in that the RMV selected a specific demographic in choosing which images to run against the database. This had a specific "positive" result in the number of matches returned. During this pilot testing the RMV learned that another state that has been using facial recognition for more than one year now, returns about 1- 3 cases that require full investigation, after the images are reviewed for clerical errors, name changes, etc. While this is not a huge number, it only takes one person to create irreparable harm. If the RMV and the police can remove this one person from the driving population, the CDL program, the RMV in general, and the public at large are more secure.

Any system might have great potential, but it is only through effective planning and management that this full potential can be realized.

There are many issues to be faced and resolved by the agency decision-makers to ensure the success of any and all of these strategies to combat licensing fraud.

Here are just a few examples of the elements Facial Recognition Program Development must and will include:

- Deciding customization options and integration of facial recognition with existing IT systems
- Deciding whether "outside" agencies should and can have access to enrolled images
- Within available funding, deciding what can be accomplished
- Creation of an audit system and solutions to inhibit fraud and clerical mistakes

All CDL license applicants, as well as renewals and out-of-state transfers will be enrolled in facial recognition software, and their images checked against the existing database, then stored in it. Of course, any suspicious finds will be investigated.

**Budget Narrative:**

As previously described, an integral part of facial recognition is the administrative burden to investigate and examine the identified images. Therefore, any cost analysis must include the establishment and funding of that administrative, investigative unit. This unit, along with the existing Audit unit of the RMV are crucial to the development of formal evaluation of facial recognition technology and the impact it has on licensing fraud.

In addition, there are one-time set-up costs that include hardware image stations, software development and licensing.

The cost for this technology has been priced at \$1,493,275, this is an all-inclusive price, with the exception of the cost to perform a “scrub” of the database. This “scrub” would mean that images would be run against each other in the existing database, to determine where there are people with more than one image, with more than one name and demographics, whether someone is in the database with the same image and signature, but under two completely different names or license numbers.

In other words, this scrub would identify people in the database now who have multiple identities. This process will be on-going, while facial recognition is implemented for all new passenger license applicants, transfers from out of state, and renewals, as well as for all new CDL license applicants, renewals and out of state transfers. While this is a one-time cost, to perform the scrub of approximately 7 million images, it will take four years to complete the scrubbing of the entire database. This is because this process has to happen overnight, when normal licensing production is not in process.

The RMV has a commitment of partial funding from the Executive Office of Public Safety (EOPS), toward this facial recognition purchase, and is seeking \$250,000 from the FMCSA to add to that figure. The \$250,000 the RMV is seeking from FMCSA will pay for the \$100,000 “scrub,” and two investigators with a law enforcement background. It will be the job of these investigators to investigate all of the cases found when the images are run in the facial recognition software, where fraud appears to be have been perpetrated. It is hoped that prosecution will result, where necessary, from these in-depth investigations.

**Special note:**

There are proprietary issues with regard to the licensing software currently in use that would make it extraordinarily difficult, time consuming and far more expensive, if the RMV were *to not* sole-source this contract to the vendor who currently provides license production services to the MA RMV



# Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
Investigator, law enforcement experience/background	Comparative annual state salary 100%	\$60,000.00
Investigator, law enforcement experience/background	Comparative annual state salary 100%	\$60,000.00
Postition 3		
Postition 4		
Postition 5		
Postition 6		
<b>SUB-TOTAL</b>		<b>\$120,000.00</b>

**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
Investigator	25% of annual salary = fringe	\$15,000.00
Investigator		\$15,000.00
Fringe benefit 3		
Fringe benefit 4		
Fringe benefit 5		
<b>SUB-TOTAL</b>		<b>\$30,000.00</b>
<b>Total Personnel &amp; Fringe Benefits</b>		<b>\$150,000.00</b>

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
Travel entry 1, two lines per entry				
Travel entry 2				
Travel entry 3				
Travel entry 4				
Travel entry 5				
Travel entry 6				
Travel entry 7				
<b>TOTAL</b>				\$0.00

**D. Equipment** - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the "supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
Equipment entry 1, one line per entry		
equipment entry 2		
equipment entry 3		
equipment entry 4		
equipment entry 5		
<b>TOTAL</b>		\$0.00

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
Hardware desktop image stations	one-time cost \$1,600 x 4 units	\$6,400.00
Licensing for non-Digimarc (license vendor) products	one-time cost \$255. x 4	\$1,020.00
supply item 3		
supply item 4		
supply item 5		
supply item 6		
supply item 7		
supply item 8		
supply item 9		
<b>TOTAL</b>		<b>\$7,420.00</b>

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
four lines per entry, use boxes below or an additional page for more space if required		
<b>TOTAL</b>		<b>\$0.00</b>

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
Designated Info Technology staff person	development of software to support image file transfer - one-time development costs	\$82 per hour x 1050 hrs	\$86,100.00
Supply item 1, one line per entry			
Supply item 1, one line per entry			
Supply item 1, one line per entry			
<i>Subtotal</i>			\$86,100.00

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
	maximum of three lines		
	maximum of three lines		
Consultant expense entry 1, one line per	maximum of three lines		
<i>Subtotal</i>			\$0.00

**Contracts:** Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost	
Contract with Digimarc Corporation to purchase Facial Recognition software business solution to implement in RMV daily operations. This is an all-inclusive price, with the exception of \$100,000 to perform a "scrub" of the existing database	\$1,493,275.00	
Contract with Digimarc, in addition to the purchase contract for facial recognition, to provide the service which would take all of the current license images (more than seven million) and attempt to determine whether or not there is a duplicate identity or fraudulent license currently in the database. This is a one-time cost. This "scrub" can only be performed at night, when license production is not on-going, and therefore, will take four years to complete.	\$100,000.00	
<i>Subtotal</i>		\$1,593,275.0
<b>TOTAL</b>		\$1,679,375.0

**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
four lines per entry, use boxes below or an additional page for more space if required		
<b>TOTAL</b>		<b>\$0.00</b>

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
one line per entry		\$0.00
one line per entry		
<b>TOTAL</b>		<b>\$0.00</b>

**Budget Summary-** When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>	<b>Amount</b>
<b>A. Personnel</b>	<u>\$120,000.00</u>
<b>B. Fringe Benefits</b>	<u>\$30,000.00</u>
<b>C. Travel</b>	<u>\$0.00</u>
<b>D. Equipment</b>	<u>\$0.00</u>
<b>E. Supplies</b>	<u>\$7,420.00</u>
<b>F. Construction</b>	<u>\$0.00</u>
<b>G. Consultants/Contracts</b>	<u>\$1,679,375.00</u>
<b>H. Other</b>	<u>\$0.00</u>
<b>Total Direct Costs</b>	<u>\$1,836,795.00</u>
<b>I. Indirect Costs</b>	<u>\$0.00</u>
<b>TOTAL PROJECT COSTS</b>	<u>\$1,836,795.00</u>
<b>Federal Request</b>	<u>\$250,000.00</u>
<b>Non-Federal Amount</b>	<u>\$1,586,795.00</u>





Deval L. Patrick, Governor  
 Richard A. Davey, Secretary & CEO  
 Rachel Kaprielian, Registrar



## REQUEST FOR DIGITIZED IMAGE PRINTOUT

### DRIVER LICENSE/ ID INFORMATION (OF THE PERSON WHOSE IMAGE IS BEING REQUESTED)

NAME: \_\_\_\_\_ LICENSE ID # \_\_\_\_\_

ADDRESS: \_\_\_\_\_

### REQUESTOR INFORMATION

REQUESTOR'S NAME \_\_\_\_\_

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

CORI APPROVED AGENCY: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TELEPHONE # : \_\_\_\_\_ FAX # : \_\_\_\_\_

### REQUEST REASON ( THIS SECTION MUST BE COMPLETED WITH AN OFFICIAL BUSINESS REQUEST )

**UPON COMPLETION OF INVESTIGATION, PLEASE RETURN LICENSE / ID TO THE RMV**

### Request details

What type of image do you need ?

What date do you need the image by ?

Color

Black & White

Both

Attention: Cori requests may be sent anytime, but RMV personnel are only available to process requests from 8:45 a.m. to 4:30 p.m. Monday thru Friday. If there is an emergency reason for more expeditious handling, please indicate this reason in the line below.

### RMV Contact Information ( office use only )

Cori Fax : 857-368-0649

Cori Information: 857-368-9500

Picked Up

Faxed

Mailed

Image Not on File

Date Completed: \_\_\_\_\_

Processed By : \_\_\_\_\_  
 ACLUM 14-164 Page 33



# Department of State Police Superintendent's Memo

Effective Date <b>February 21, 2008</b>	Number <b>08-SM-07</b>
Subject <b>Revised Access to Facial Recognition System</b>	

The Registry of Motor Vehicles has revised the e-mail address that Law Enforcement Agencies may utilize to send requests to have an image run through the Facial Recognition System. The e-mail address is:

**MSP-DL-FacialRecES@MassMail.State.MA.US**

Requests shall include name, rank, ID #, current station or duty assignment and a call back number. As before, only requests received from official, department assigned e-mail addresses will be accepted. (Requests being made via personal e-mail accounts will not be accepted or answered.)

After the Facial Recognition Team has determined if there is a hit on the subject, the sender will be contacted by telephone with the results. The sender will then be directed to CJIS Web so the image of the subject can be viewed or compared with multiple images. If the sender is still uncertain regarding the results, they may come to the Facial Recognition office at the State Transportation Building: 10 Park Plaza, 2<sup>nd</sup> Floor, Boston, MA to compare the hard copies of the images. For court purposes, it may be preferable to have the hard copies. Due to privacy issues, requests to send the results over the internet will not be accepted.

The existing ideal image parameters should be followed when sending images to be run through the system:

- Maximum Size:
  - a. 1024 by 1024 pixels
  - b. 2 megabytesNote: Image properties in MSPAINT can be used to display actual image size.
- Type:
  - a. JPEG minimum compression (to fit 2 MB)
  - b. BMP
- Cropping/ Zoom:
  - a. Head compromises approximately 80% of image height (small bit of shoulders)
  - b. Head comprises 70% of width

- Subject should be facing directly into camera:
  - a. Slightly left or right is acceptable (maximum 10 degrees)
  - b. Never from below
- Lighting should be as bright as possible:
  - a. Avoid dark shadows near the bottom of the face
- The original image should be submitted for optimum results:
  - a. Every time the image is copied it is changed slightly
  - b. The investigating officer should only use Photo Shop or similar software on the original image if an adjustment is required.
- If images are available with and without glasses, both should be sent.

All inquires must be related to an ongoing criminal investigation. In addition, officers may want to utilize SP 627, the Facial Recognition Request Form as part of their investigation. In cases of emergencies only officers may call the Facial Recognition Team directly at 617-973-8952.

**OFFICIAL:**

**Mark F. Delaney**  
**Colonel / Superintendent**



# Facial Recognition Request Form

**Directions:**

- 1) Fill out all information as completely as possible.
- 2) Fax completed form to the MVRs-Facial Recognition Team at 617-973-8982.

Date: \_\_\_\_\_ Case #: \_\_\_\_\_

Requesting Agency: \_\_\_\_\_

Requestors Name: \_\_\_\_\_

ID #: \_\_\_\_\_ Phone #: \_\_\_\_\_ Fax #: \_\_\_\_\_

Official E-mail Address: \_\_\_\_\_

**Probe Information:**

License #: \_\_\_\_\_ SS #: \_\_\_\_\_

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_

Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Contact the Facial Recognition Team at 617-973-8952 upon completion of case for license(s) revocation, flagging, and activity hold placement on record(s).**

**For MVRs-Facial Recognition Team Use Only:**

Date of search: \_\_\_\_\_ Performed by: \_\_\_\_\_

Record Flagged       Record Released       FR Notes added



The Commonwealth of Massachusetts  
Department of State Police  
Compliance Unit

DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

10 Park Plaza 2<sup>nd</sup> Floor  
Boston, Massachusetts 02116

MARY ELIZABETH HEFFERNAN  
SECRETARY

COLONEL TIMOTHY ALBEN  
SUPERINTENDENT

October 1, 2012

To: All Local, State and Federal Law Enforcement Agencies  
From: Sergeant Jeffery C. Joachim, Commanding Officer Compliance Unit  
Subject: Access to the Facial Recognition E-Mail Address

- 
1. The Registry of Motor Vehicles has created an e-mail address that Law Enforcement may send requests to have an image run through the Facial Recognition System. The e-mail address is [MSP-DL-FacialRecES@massmail.state.ma.us](mailto:MSP-DL-FacialRecES@massmail.state.ma.us). Please include the department making the request along with the contact persons name and call back number. Only requests received from official Law Enforcement e-mail addresses will be accepted. (No personal e-mails will be answered.)
  2. After the Facial Recognition Team has determined if there is a hit on the subject they will contact you by telephone or by e-mail with the results. If there is a hit on the system they will direct you to CJIS Web so you can see the image of the subject or compare multiple images. If you are still uncertain with the results you may come to the Facial Recognition office at the State Transportation Building 10 Park Plaza Boston, MA to compare hard copies of the hit. It may also be preferred to have the hard copies for court purposes. Due to privacy issues we are unable to send results over the internet.
  3. The following guidelines should be used when sending images to be run through the system.
  4. For Emergencies only call the Facial Recognition Team at 857-368-8605.

[MSP-DL-FacialRecES@massmail.state.ma.us](mailto:MSP-DL-FacialRecES@massmail.state.ma.us)



The Commonwealth of Massachusetts  
Department of State Police  
Compliance Unit

DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

Boston, Massachusetts 02116

MARY ELIZABETH HEFFERNAN  
SECRETARY

COLONEL TIMOTHY ALBEN  
SUPERINTENDENT

September 21, 2012

To: Facial Recognition Personnel  
From: Sgt. Jeffery C. Joachim #0369, Compliance Unit, Commanding Officer  
Subject: Policy for Photo Arrays

- 
- 1.) To avoid any conflict with respect to court testimony and the continuity of evidentiary court presentation, the following policy will be adhered to from all Facial Recognition (FR) personnel.
  - 2.) Any officer from any agency/police department when requesting a photo array will fill out and complete the "Photo Array Request Form." That officer will be given an appropriate time to appear at the facial recognition unit. FR personnel will use the suspect as a probe and print a galley of potential candidates for a photo array. The investigation officer shall make all choices for the candidates of photo array. If the officer requests and time is available FR personnel may print the color photographs of the selected candidates.
  - 3.) The "Photo Array Request Form" with a copy of the gallery shall be kept and filed in a folder with the month and year and maintained by the Supervisor.
  - 4.) Any questions or concerns please call 857-368-8605 or fax form to 857-368-0645.

Jeffrey C. Joachim #0369

Massachusetts State Police Compliance Unit  
Commanding Officer



**L-1**  
**IDENTITY**  
**SOLUTIONS™**  
SECURE CREDENTIALING DIVISION

# Biometric Identification User Guide

Version 4.1

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## About this Guide

The *Biometric Identification User Guide* describes how the Massachusetts Registry of Motor Vehicles uses version 4.1 of L-1's Biometric Identification (BI) system. BI helps prevent the issuance of more than one driver license or ID to an individual. The system provides a way for driver license/ID issuers to work with law enforcement in the fight against identity theft and fraud.

## Who Should Read this Guide

This Guide is intended primarily for people who use the L-1 BI to investigate cases that have been flagged for further review. Investigators who need to upload images from other external sources to support their investigations can also benefit from information in this Guide.

There are different levels of L-1 BI users with different responsibilities. Levels include auditor, examiner, investigator, senior investigator, supervisor, watch investigator and external watch investigator. See *Understanding Roles and Permissions* for detailed information.

This Guide assumes that you do not have any prior knowledge about BI. However, this Guide does assume that you are familiar with the basic features of Microsoft® Windows®.

This Guide does not provide information for how to use devices not specifically supplied or supported by L-1. Refer to the document(s) available with each device for the respective set up, operation, maintenance, and troubleshooting instructions.

## Differences Between the Guide and the BI Software

You may notice differences between the L-1 BI features that are described in this Guide and those in your system.

L-1 BI can be customized to suit different purposes. For example, an organization may allow for different BI devices. These different functions are easily modified during installation to provide a custom environment for the user's specific purpose.

As well, your user role may not give you access to all of the features and functions that are available and described in this Guide. Your organization can set up user roles with permissions to use certain functions of BI. Depending on your role, you may or may not have access to the features described. For more information about permissions, see *Understanding Roles and Permissions*. If in doubt about your role or the permissions that you have been assigned, ask your administrator.

Because of these customization and security differences, the screen shots that are shown in this Guide may be different from the images you see in your system. If you have any questions about the differences you may see between this Guide and the system, ask your administrator.

## Revision History

Rev	Date	Comments
0.1	July 16, 2010	Preliminary review draft.
0.2	May 2011	Added information on case investigations.
1.0	June 2011	Initial release to customer.

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# Chapter 1. Introduction

This chapter provides general information about Biometric Identification (BI). Specifically, it contains the following topics:

- BI Workflow
- BI Devices

## BI Workflow

Biometric Identification is a system that enrolls an image in the form of a *template* and then compares that template to all other templates in the BI database. Matching candidates are listed from high score to low score.

BI workflows include image enrollment, image validation, probe investigation, watch list and my group reviews.

### Image Enrollment

After an image is captured, the *enrollment* process creates and stores a template of the image with demographic information on the Central Image Server (CIS). BI maps the image (using up to 80,000 points of contour) like a 3-D modeling of a face for a video game.

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**Note:** Any template that is used to compare against the other templates in the BI database is described as a *probe* during that comparison/investigation.

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The probe is compared to all stored templates on the BI server. To make optimum use of computer bandwidth, this process is run at night. This comparison is based on a probability of match, not an exact match.

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**Note:** It is important to note that this investigative tool does not positively identify individuals; it provides the basic information needed to make a possible fraud assessment.

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### Image Validation

The number of matches or *candidates* that are found to be possible matches to the probe depends on the setting of the match level. The higher the match level or threshold, the fewer candidates that are matched and there is less likelihood of getting false positives.

If no matches are found that satisfy the specified conditions, other than the image itself, then no duplicates were found and the candidate case is marked as passed.

If one or more matching images are found, the group of images is put on a *candidate list* for viewing by an investigator or senior investigator. This list is automatically created each night from the day's new image probes.

BI cannot positively match images. It can only calculate the likelihood of a match.

### Probe Investigation

An investigator uses the probe and candidate images to determine if there is fraud. The investigator marks each image that is determined to be fraudulent and saves the result to the CIS.

An investigator may have a special interest in a particular image that was captured and stored sometime in the past. This image can be interactively retrieved using the related driver license number, identification number, or name.

### Watch List and My Groups Reviews

Watch List and My Groups are mechanisms that allow a senior investigator, external watch investigator, and supervisor to view the automatically generated probe list, as well as allowing supervisors to view the uploaded probes in a personal group list (My Group list).



## **BI Devices**

Your facial recognition workstation must be connected to the facial recognition server and central image server.

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**Note:** There may be other devices in use that are not included in this list. Consult with your administrator if you have any questions.

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For information about the device(s) that your organization uses, or instructions about how to use them, refer to the documentation provided for the device.



## **Chapter 2. Getting Started**

This chapter provides basic information about Biometric Identification (BI). Specifically, it contains the following topics:

- Understanding Roles and Permissions
- Logging into BI
- Changing Your Password
- Logging out of BI

## Understanding Roles and Permissions

The administrator sets up all BI user accounts. Your role determines which features of the system you can access, and which tasks you can perform. The following sections describe the roles.

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**Note:** See the *Biometric Identification Admin Guide* for detailed information about the administrator and system administrator roles.

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### Auditor

The auditor can:

- Use filter options to find a case
- View a closed case from the Cases tab
- Add and view record notes
- View the case history
- Change their password

### Examiner

The examiner can:

- Perform all functions of an auditor, except for viewing cases from the Cases tab
- View a case from a search results list (Leads tab)
- Compare a probe to candidates list
- Move a case to research
- Mark a case closed with no issues

### Investigator

The investigator can:

- Perform all functions of an examiner
- Start an investigation
- Assign a case to themselves
- Set record status to possible suspect or data error
- Review case history
- Create, review and delete case links
- Create a record, case or side-by-side dossier

- Create and delete groups
- Add and delete records in groups
- Upload images to groups
- Start investigations from an uploaded image
- Compare images in a group
- Perform searches via the Find People tab

## External Investigator

- Share a case
- Close a non-suspect investigation

## External Watch Investigator

- Add a record to a watch list
- Delete a record from a watch list
- Change watch list settings
- View all watch lists

## Senior Investigator

The senior investigator can:

- Perform all functions of an investigator
- Assign a case to any investigator
- Move a case to research
- Move a case to its final disposition
- Start an investigation from the Case Investigations tab
- Search for a case on the Case Investigations tab
- View a case from a search results list
- Add and viewing notes
- Remove a probe or suspect from a case
- View the police action checklist
- Edit police action details
- Review case history details
- Add case links
- Merge police action statuses
- View case links

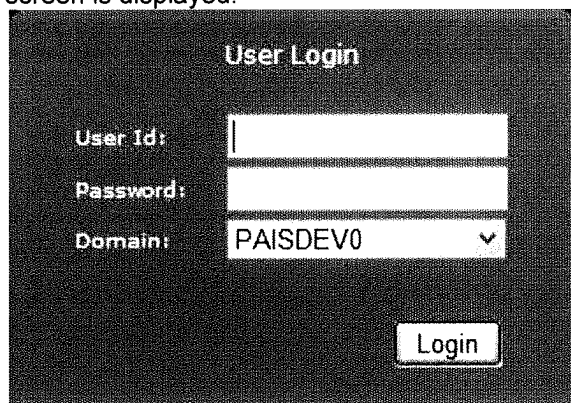
- Delete case links
- Close a case
- Add and delete records in watch lists
- Change watch list settings
- View the watch list of any investigator
- View the groups of any investigator
- Link or unlink records
- Add or delete exclusions

## Logging into BI

If you are a member of a BI user group, you can access the system on your workstation as described in the following procedure.

### To log into BI:

1. Turn on your workstation.
2. BI is a web-based application; open an Internet Explorer or Mozilla browser.
3. Enter the BI Uniform Resource Locator (URL) or web address into the Address box. Contact your administrator if you need the address. Press **Enter** on your keyboard. The BI login screen is displayed.



4. Enter your **User ID** and **Password**, then select **Login**.  
You are logged into BI. The BI **Leads** tab is displayed.

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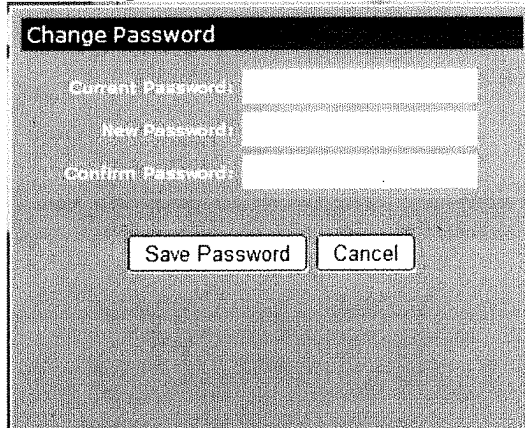
**Note:** With the exception of the Copy and Paste options, the menus that display when the right mouse control is selected should not be used in BI.

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## Changing Your Password

All users have the ability to change their password. To do this:

1. Select the **Change Password** link in the upper right corner of any screen.
2. The **Change Password** dialog box displays.

A screenshot of a 'Change Password' dialog box. The dialog has a title bar that says 'Change Password'. Inside, there are three text input fields: 'Current Password:', 'New Password:', and 'Confirm Password:'. Below the fields are two buttons: 'Save Password' and 'Cancel'.

3. Enter your **Current Password**.
4. Enter your **New Password**; then enter it again in the **Confirm Password** field.
5. Select the **Save Password** button to save your changes or select the **Cancel** button to cancel the transaction.

## Logging out of BI

Click the **Log Off** link in the upper right corner of any BI screen.

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**Note:** If you do not log out of BI by clicking **Log Off**, cases that you have been working on may not be available to other investigators for up to 20 minutes.

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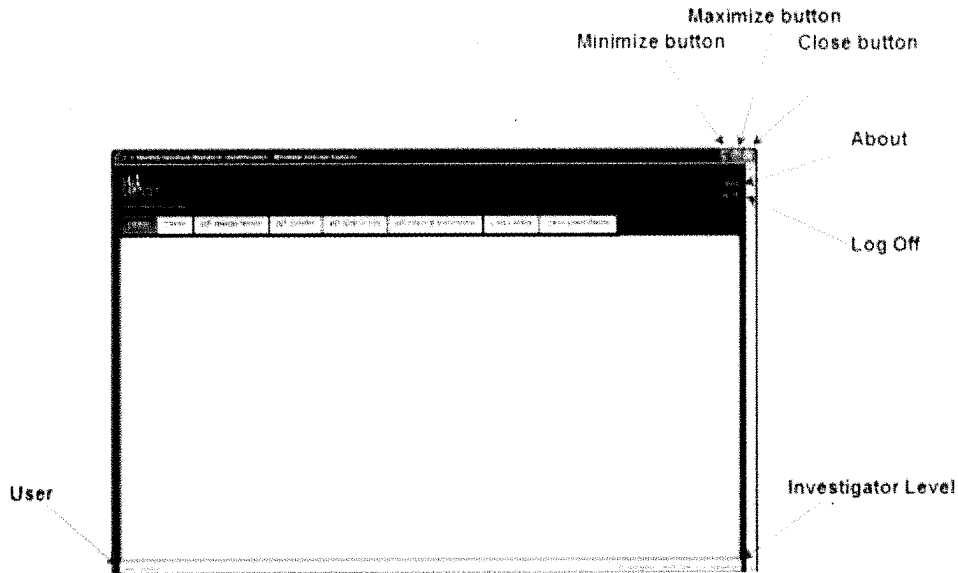
## Chapter 3. Working in BI

This chapter provides information about the BI menu structure. Specifically, it contains the following topics:

- System User Framework Fields
- System User Navigation Bar
- Search Results Lists
- Filter Options
- New Searches
- Viewing Relative Match Scores
- BI Application Options and Icons
- Viewing Portrait, Signature and Fingerprint.
- Adding Notes to a Record
- Reviewing Notes in a Record
- Adding Files to a Record
- Saving Your Work

## Framework Fields

The BI framework shown in the following figure is present throughout the workflow process.



The following table describes the framework fields.

**Table 1. System User Framework Fields**

Field	Description
<b>About</b>	Use this link to display the BI version number and license information. This link is located in the upper right corner of the screen.
<b>Change Password</b>	Use this link if you want to change your password.
<b>Log Off</b>	Use this link to log out of BI. This link is located directly under the About link in the upper right corner of the screen.
<b>User</b>	This field displays the name of the user and is located in the lower left corner of the screen.
<b>Investigator Level</b>	This field displays the level of user and is located in the lower right corner of the screen. Possible levels are Auditor, Examiner, Investigator, Senior Investigator, Supervisor, Watch Investigator and External Watch Investigator.
<b>Minimize button</b>	Use this button to minimize the application to a button on the taskbar. This is a standard browser button located on the top right corner of the browser.
<b>Maximize button</b>	Use this button to maximize the application on the screen. This is a standard browser button located on the top right corner of the browser.

<b>Field</b>	<b>Description</b>
<b>Close button</b>	Use this button to close the browser. This is a standard browser button located on the top right corner of the browser.

## System User Navigation Bar

The BI system user navigation bar is present throughout the workflow process.

Leads	Cases	My Identifications	My Groups	My Watch List	My Links & Exclusions	Find People	Case Investigation
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**Note:** Individual tabs are configurable and depending on your system user level, may not be present in your particular configuration.

The following table describes the system user navigation bar tab selections.

**Table 2. System User Navigation Bar**

Tab	Description
<b>Leads</b>	This tab displays a list of all identifications automatically received from the database (CIS) that have resulted in at least one match.
<b>Cases</b>	This tab displays a list of all investigations that have been moved to research.
<b>My Identifications</b>	This tab displays a list of all manual investigations that were processed by a specific user.
<b>My Groups</b>	This tab displays all personal groups you have created. Images can be manually uploaded from this screen. In addition, 1:1 comparisons can be performed from this screen.
<b>My Watch List</b>	This tab allows you to view all of the cases you have added to the different watch list groups.
<b>My Links &amp; Exclusions</b>	<p>This tab has two sub tabs: Link Records and Exclusion List.</p> <p><b>Link Records</b> displays a summary of linked records in the database that have potential connections to a single investigation. This tab allows you to link together any two records you think could be tied to a single case or a single identity. By grouping all records that have the same person credentials, investigators are able to check all records together, instead of individually.</p> <p><b>Exclusion List</b> displays a summary of records that have non-fraud image matches so are excluded from future comparisons. This tab is a pre-approval of two or more records known to create a potential match, but cleared of any suspicious activity ahead of time.</p>
<b>Find People</b>	This tab allows you to locate individual records in the system using criteria entered into search fields.
<b>Case Investigations</b>	This tab displays a list of all investigations that have been closed with the status of Criminal Activity.

## Search Results Lists

Depending on your user level, you can view search results lists from the **Leads** or **Cases** tabs. The lists are similar in construction.

To view cases that were automatically generated by the BI CIS, select the **Leads** tab. This example shows search results at the examiner user level.

Case Id	Case Status	Priority	Last Name	First Name	S Number	Surrogate	Document Type	Created Date
82993	Reads	Low	KEED	CHRISTOPHER	849796992	F4-00424EDD	Driver License	2010-10-21
82996	Reads	Low	STAFFIER	ANTHONY	809114755	F4-00174F6D	Driver License	2010-10-21
82997	Reads	Low	GAMBLE	RONALD	833094041	F4-003DC493	Driver License	2010-10-21
82998	Reads	Low	CHOI	SUNSHION	873140311	F4-00CEB9C0	Driver License	2010-10-21
82999	Reads	Low-Medium	VATQUEB	STEPHANIE	888894238	F4-002C4444	Driver License	2010-10-21
83000	Reads	Low	WOODLE	HENRY	88891628	F4-003E1D9	Driver License	2010-10-21
83001	Reads	Low	LAM	CHRON	820768697	F4-0043729E	Identification	2010-10-21
83002	Reads	Low-Medium	FISHE	MAURA	871504388	F4-001472D4	Driver License	2010-10-21
83003	Reads	Low	COLLINS	HEPHERT	813270311	F4-0064F97A	Driver License	2010-10-21
83004	Reads	Low	MILLER	CHRISTOPHER	822442440	F4-00CDE0CF	Driver License	2010-10-21
83005	Reads	Low-Medium	JONES	EDWARD	838527062	F4-00580FD1	Driver License	2010-10-21
83006	Reads	Low	WOODS	CHARLENE	837495104	F4-0063316F	Driver License	2010-10-21
83007	Reads	Low	RUDANCO	LEENA	898185632	F4-00CDD746	Liquor Identification	2010-10-21
83008	Reads	Low-Medium	JAMBOGHIAN	JULIE	879531753	F4-00A74453	Driver License	2010-10-21
83009	Reads	Low	CLERICI	MARY	833369156	F4-0028E553	Driver License	2010-10-21






The following table describes the search results lists columns.

**Table 3. Search Results Lists Columns**

Column	Description
<b>Case Id</b>	The identification number of the case.
<b>Case Status</b>	The status of the case. Possible statuses are: Failed, In Use, New, No Matches, Processing, Ready, or Closed.
<b>Priority</b>	Indicates the range of the relative match score of the case. Possible values are Low, Low-Medium, Medium, Medium-High or High.
<b>Last Name</b>	The last name of the probe.
<b>First Name</b>	The first name of the probe.
<b>S Number</b>	The DL/ID number of the probe.
<b>Surrogate</b>	The individual identifier of the probe.
<b>Document Type</b>	The type of card the probe has. Possible options are Drivers License, Identification, Liquor Identification or Emission Inspector ID.
<b>Created Date</b>	The date the case was created.

The following table describes available functions on the search results lists.

**Table 4. Search Results Lists Functions**

Select:	If you want to:
<b>Any column heading</b>	<p>Organize and sort cases by column heading.</p> <p>Click on a column heading and the list will be organized by that heading. One click lists the information in ascending alphabetical order from A-Z or numerical order 1,2,3... Two clicks lists the information in reverse order (Z-A or ...3,2,1).</p> <p><b>Note:</b> When sorting cases by Priority, the sort order is alphabetically by priority name, and not by priority type.</p>
<b>Filter Options</b>	Narrow your search results. See <i>Using Filter Options</i> .
<b>Arrows</b>	<p>Navigate between pages when there are several pages to a list. Use the   arrows to navigate one page forward or backwards through the list. Use the   arrows to navigate to the beginning or end of the list. When there are multiple pages to a list the number of pages is listed on the right side of the screen.</p>
	<p>If the <b>Auto-Next</b> box is checked the oldest case available based on the display filters in the <b>Leads or Cases</b> tab will automatically display. If the <b>Auto-Next</b> box is not checked, you are returned to the <b>Leads or Cases</b> tab search results list.</p>

## Filter Options

Filter options are available to all user levels from the **Leads**, **Cases**, and **My Identifications** tabs. Use any of the filter options to narrow your search results and adjust what is shown in the results lists. Select **Filter** to see the search results list.

Once you have a results list it can be sorted by clicking any column header. To open the case that you want to view, click any row from the search results list.

Select **Reset** at any time if you want to clear the filtering information.

---

**Note:** Depending on your user level, you may not have access to all of the fields shown.

---

The screenshot shows a web application interface with four tabs: "Leads", "Cases", "My Identifications", and "My". The "Cases" tab is selected. Below the tabs is a "List View" button. A "Filter Options" dialog box is open, containing the following sections:

- Buttons:** "Filter" and "Reset".
- Case Details:**
  - Level: Any (dropdown)
  - Identify Type: Any (dropdown)
  - Case Origin: Any (dropdown)
  - Case Status: Any (dropdown)
  - Assigned To: Any (dropdown)
  - Case Id: [text input]
- Demographic Fields:**
  - Last Name: [text input]
  - First Name: [text input]
  - S Number: [text input]
  - Surrogate: [text input]
  - Document Type: [text input]
  - Document Style: [text input]
- Case Date Range:**
  - Start Date: [text input]
  - End Date: [text input]

The following table describes the filter options.

**Table 5. Filter Options**

<b>Filter Option</b>	<b>Description</b>
<b>Case Details</b>	
<b>Level</b>	Possible levels are: <ul style="list-style-type: none"> <li>▪ Any</li> <li>▪ Research</li> <li>▪ Suspicious Activity</li> <li>▪ Possible Data Error</li> <li>▪ Closed – No Issues</li> </ul>
<b>Identify Type</b>	Possible types are: <ul style="list-style-type: none"> <li>▪ Any</li> <li>▪ 1:R Only</li> <li>▪ 1:N Only</li> <li>▪ Multiple (occurs when the type is both 1:R and 1:N)</li> </ul>
<b>Case Origin</b>	Possible origins are: <ul style="list-style-type: none"> <li>▪ Any</li> <li>▪ Automated</li> <li>▪ Manual</li> <li>▪ Watch List</li> </ul>
<b>Case Status</b>	Status of the case you want to investigate. Note that this is not an investigatory status of the probe. Select one of the status options from the drop-down list. Possible statuses are: <ul style="list-style-type: none"> <li>▪ <b>Any</b></li> <li>▪ <b>Failed</b> – the probe has failed identification due to a system error.</li> <li>▪ <b>In Use</b> - an investigation is started and the investigator is actively looking at the search results. While in use, no other users can edit the file. The status does not change until the investigator saves the work, completes and closes the file, or logs out of the BI application.</li> <li>▪ <b>New</b> – the probe has been added to the database, but the identification process has not yet started.</li> <li>▪ <b>No Matches</b> – the probe has no matches. This status is used only for manual identifications, watch list identifications and managed cleanse.</li> <li>▪ <b>Processing</b> – the probe is in the process of being matched with the templates in the database.</li> <li>▪ <b>Ready</b> - the identification process is completed and the case is ready for the investigator to work with.</li> <li>▪ <b>Closed</b> – the case has reached a conclusion.</li> </ul>
<b>Assigned To</b>	Possible selections are: <ul style="list-style-type: none"> <li>▪ Any</li> <li>▪ Open</li> </ul>



Filter Option	Description
	<ul style="list-style-type: none"> <li>▪ Regular</li> </ul>
<b>Case ID</b>	The identification number of the case.
<b>Demographic Fields</b>	
<b>Last Name</b>	The last name of the probe you are investigating.
<b>First Name</b>	The first name of the probe you are investigating.
<b>S Number</b>	The DL/ID number of the probe you are investigating.
<b>Surrogate</b>	The individual identifier of the probe.
<b>Document Type</b>	The type of card the probe has. Possible values are Drivers License, Identification, Liquor Identification or Emission Inspector ID.
<b>Case Date Range</b>	
<b>Start Date</b>	The start date the case you want to investigate was created. Click in the <b>Start Date</b> field to use the pop up calendar.
<b>End Date</b>	The end date the case you want to investigate was created. Click in the <b>End Date</b> field to use the pop up calendar.

## New Searches

All users except examiners can create a new search from the **Find People** tab. Use any of the search fields to narrow your search results to locate individual records, then select **Find**. Results are sorted by the Last Name field in ascending order.

Select **Reset** at any time to clear the fields.

### Search Options

S Number:

Surrogate:

\* Last Name:

\* First Name:

Age Range:  To

Gender: Any

City:

\* Zip:

Address Type: Residential

Enroll Status: All

Investigation Status: All

Use Soundex:

\* Wildcard searches allow for partial name searches. ? indicates replacing just one character, while \* indicates any string of characters. ( i.e. Jo\* Smi\* will return, John Smith, Joseph Smithers, Joan Smithe, etc... i.e. Jo? Smi\* will return, Joe Smith, Jon Smithers, Joy Smithe, etc...)

If you do not have complete or specific information about a case, enter any information you know is accurate in the text boxes on the screen and, perform one of the following types of searches:

**Wildcard searches:** Initiates a search for results when you have only partial information available for the search. Wildcard usage includes:

- The question mark (“?”) is used to represent a single alphanumeric character in a search expression. For example, searching for the name “Jo?” would yield results containing such names as “Joe” and “Jon”.
- The asterisk (“\*”) is used to match zero or more alphanumeric characters. For example, searching for the name “Jo\* Smi\*” retrieves results with names including “John Smith”, “Joseph Smithers”, and “Jody Smithe”. Avoid using the asterisk as the first character in a search string.

**Soundex Searches:** Returns names that sound phonetically similar.

When performing a Soundex search, checkmark the **Use Soundex** box, and then click **Find**.

## Viewing Relative Match Scores

The relative match value is a score assigned to a candidate photo based on the “closeness” of match of the probe facial template with the candidate template. The likelihood of a match is indicated with a numeric and color-coded score. You can view the relative match score on images on the **Leads**, **Cases**, and **My Identifications** tabs.

When viewing a 1:N match, the higher the score, the more likely a match. The color-coded scores the colors range from blue to red, with blue indicating a low confidence score and red indicating a high probability of a match.

Relative Match Value	Color
Low	Blue
Low-Medium	Green
Medium	Yellow
Medium-High	Orange
High	Red

When viewing a 1:R match, the lower the score the more likely a mismatch. The color-coded scores range from red to blue, with red indicating a low confidence score and blue indicating a high probability of a match.

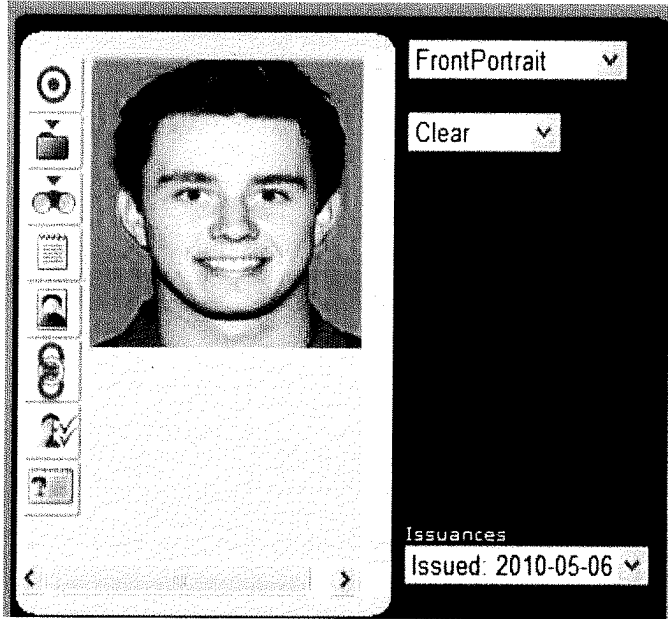
Relative Match Value	Color
Low	Red
Low-Medium	Orange
Medium	Yellow
Medium-High	Green
High	Blue

The following shows examples for high and low relative match score images.



## BI Application Options and Icons

The following table describes the icons available in the application.














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**Note:** The options/icons that are available to you depend on your user level.

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**Table 1. BI Application Options and Icons**

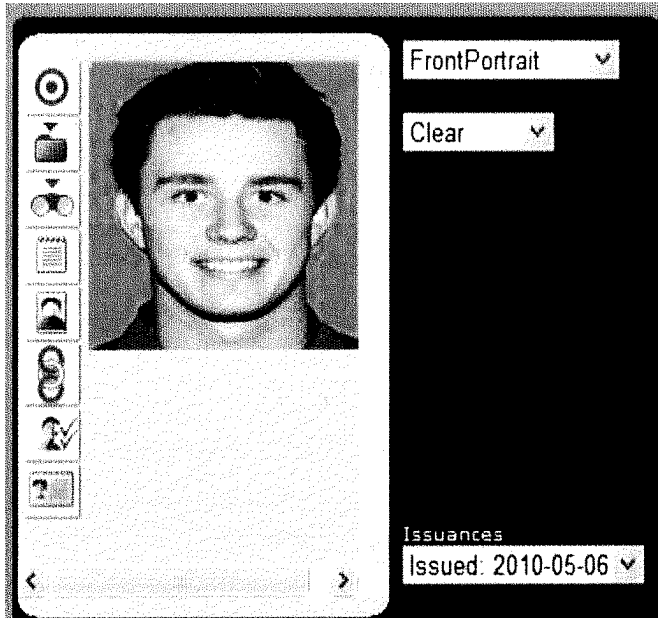
Option / Icon	Action
	<p><b>Zoom an image</b></p> <p>Click on the image to change the viewing size of the image. Use the magnifying glass icons to zoom in or out on an image.</p>
	<p><b>Start a new investigation</b></p> <p>Opens the Identification Options screen so you can submit your criteria for a new manual investigation.</p>
	<p><b>Add record to a group or create a group</b></p> <p>Opens the My Groups screen so you can add the record to a personal group, and/or create a new group.</p>
	<p><b>Add a record to a watch list</b></p> <p>Opens the Watch List screen so you can add a case to a watch list.</p>
	<p><b>Add a note to a record</b></p> <p>Opens the Notes screen so you can add a note to a record. Once entered this note is permanently attached to the record in the BI database.</p>
	<p><b>Note has been added to a record</b></p> <p>Opens the Notes screen so you view notes added to a record. Also appears on a candidate record to indicate the record has notes.</p>
	<p><b>Create a dossier</b></p> <p>Allows you to create a dossier of the record.</p>
	<p><b>Linked to another case</b></p> <ul style="list-style-type: none"> <li>▪ A blue icon indicates there are no records linked to this record.</li> <li>▪ A red icon indicates the candidate record is linked to one or more probes.</li> <li>▪ A red icon with two checkmarks indicates the probe records has candidate records linked to it.</li> </ul>
	<p><b>Create an exclusion</b></p> <ul style="list-style-type: none"> <li>▪ A blue icon indicates the probe does not have any exclusions.</li> <li>▪ A red icon with a checkmark it indicates the record exists in a private exclusion list.</li> <li>▪ A red icon with a blue circle indicates the record exists in a public exclusion list.</li> <li>▪ A red icon with a blue circle and one red checkmark indicates the record exists in at least one private and public exclusion list.</li> <li>▪ A red icon with two checkmarks indicates the probe record has exclusions.</li> </ul>
	<p><b>Related cases</b></p> <p>Indicates that the record is either a candidate or probe in another investigation.</p>
	<p><b>Selected candidate</b></p> <p>Indicates the candidate that is currently selected for a side-by-side comparison with the probe.</p>

Option / Icon	Action
	<b>Release card for print</b>

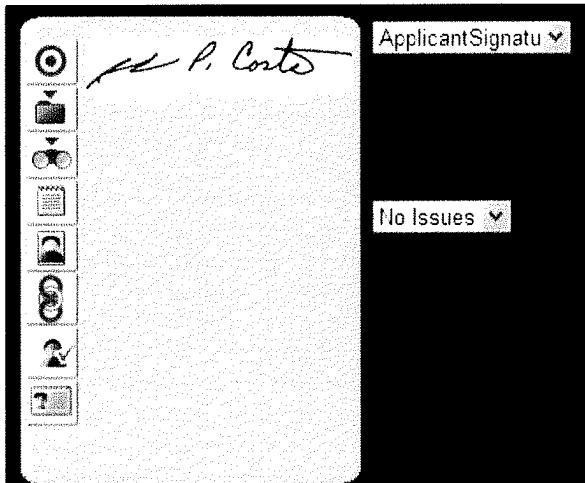
## Viewing Portrait and Signature

You can change the view of probe information. Possible views are portrait and signature.

The default view is the probe's portrait:



Select **Applicant Signature** to view the probe's signature:





## Adding Notes and Files to an Investigation

All user levels can add notes and files to a case. This procedure describes how to add a note or file to an investigation.

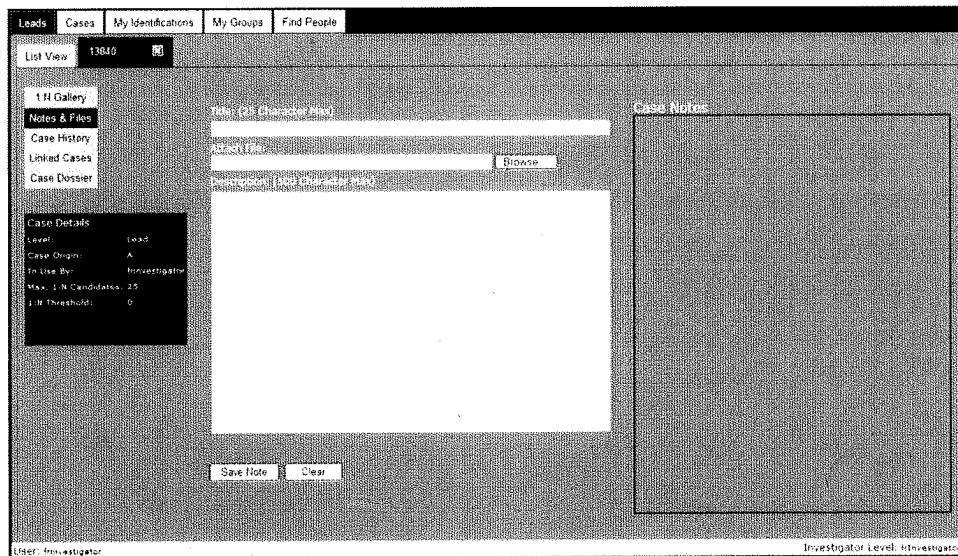
---

**Note:** Saved notes and files cannot be deleted.

---

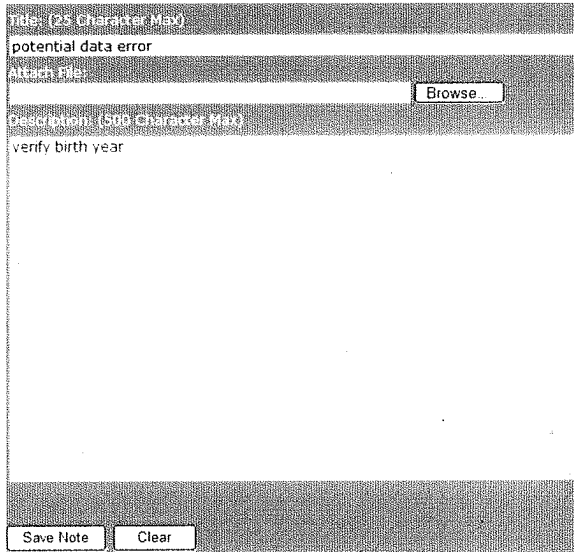
1. Select a case from the results list.
2. Select **Notes & Files**.

The **Notes & Files** screen is displayed.

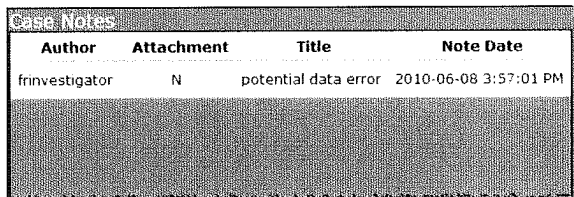


**To add a Note:**

1. Fill in the **Title** field. Type your new **Note** (maximum 500 characters) in the text box.



2. To save your note, select **Save Note**. Your note is added to the Case Notes.



Author	Attachment	Title	Note Date
frinvestigator	N	potential data error	2010-06-08 3:57:01 PM

Select **Clear** to exit the screen without saving the note. Select **1:N Gallery** or **1:R Gallery** to return to the **Case Details** screen.

**To add a File:**

You can add a file as an attachment to an investigation. The types of files you can attach are:

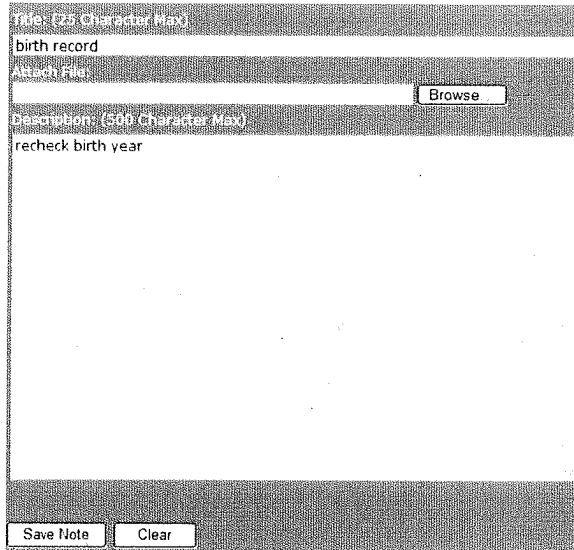
- .JPG
- .PDF
- .BMP
- .HTML
- .XML
- .TXT
- .DOC
- .XLS

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**Note:** There is a 10MB limit for file attachments.

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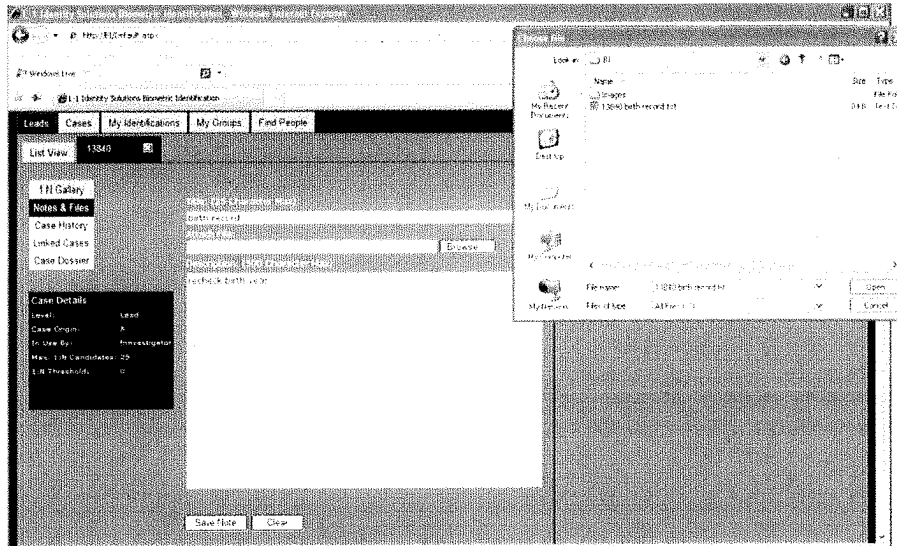
1. Fill in the **Title** field.



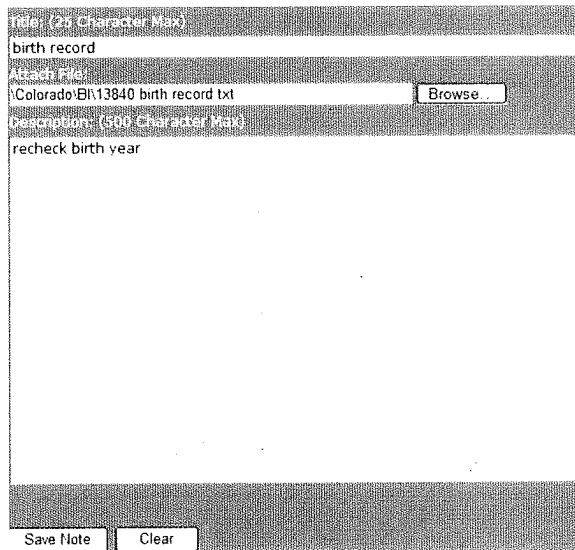
The screenshot shows a web form with the following fields and controls:

- Title:** (25 Character Max) with the text "birth record" entered.
- Attach File:** A text input field with a "Browse" button to its right.
- Description:** (500 Character Max) with the text "recheck birth year" entered.
- Buttons:** "Save Note" and "Clear" buttons at the bottom.

2. Select **Browse**. The **Choose File** dialog box is displayed.



3. Navigate to the location of the file, and select **Open**. The file location is displayed in the **Attach File** field.



4. Select **Save Note**. The file is added to the **Case Notes**.

Author	Attachment	Title	Note Date
frinvestigator	Y	birth record	2010-06-08 4:09:04 PM
frinvestigator	N	potential data error	2010-06-08 3:57:01 PM

Select **Clear** to exit the screen without saving the file. Select **1:N Gallery** or **1:R Gallery** to return to the **Case Details** screen.

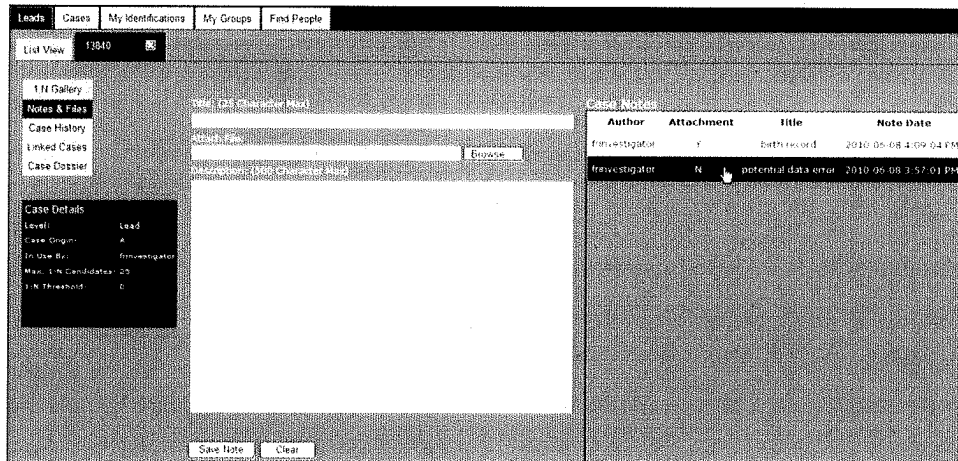
## Reviewing Notes and Files in an Investigation

This procedure describes how to review notes and files in an investigation.

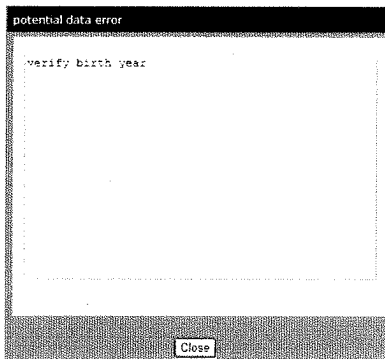
1. Select a case to review from the results list.
2. Select **Notes & Files**.

The **Notes & Files** screen is displayed.

3. Select the record you want to review from the **Case Notes** table. Multiple notes in an investigation are listed in reverse chronological order.

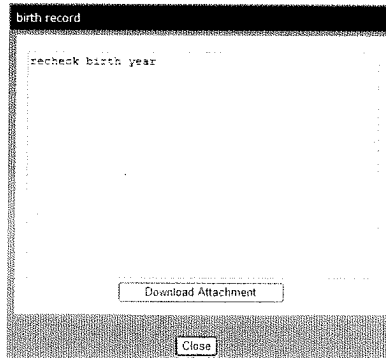


The Note is displayed.

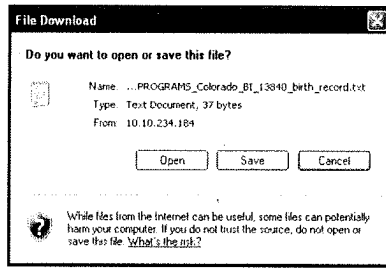


4. If a Note has an Attachment, the **Download Attachment** button is visible. To review an

attachment, click **Download Attachment**.



5. The **File Download** dialog box is displayed. You can **Open** the attachment or **Save** it to your PC.



## Adding Notes to a Record

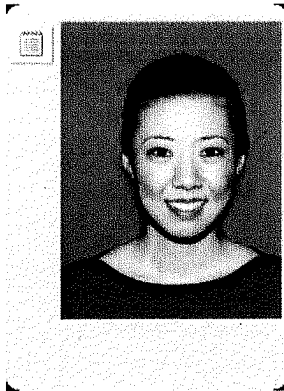
All users can add public notes to a record. All users except examiners can add notes to a record.

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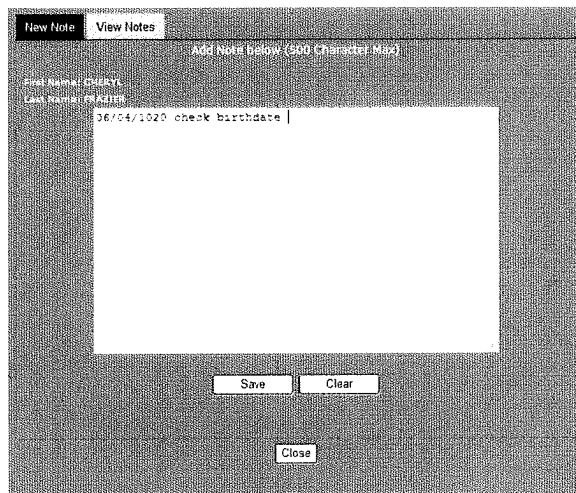
**Note:** Saved notes cannot be deleted.



---

1. On any screen where you can view an image, select the **Note**  icon. The **New Note** screen is displayed.




2. Type your new Note (maximum 500 characters) in the text box.

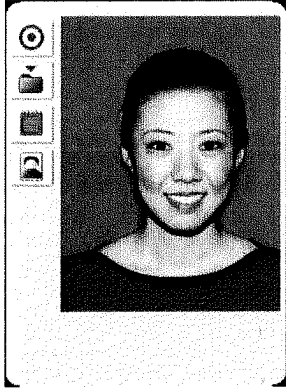


3. To save your note, select **Save**. Once a note has been saved, the color of the **Note** icon changes from white  to red .
4. Select **Close** to return to the record.

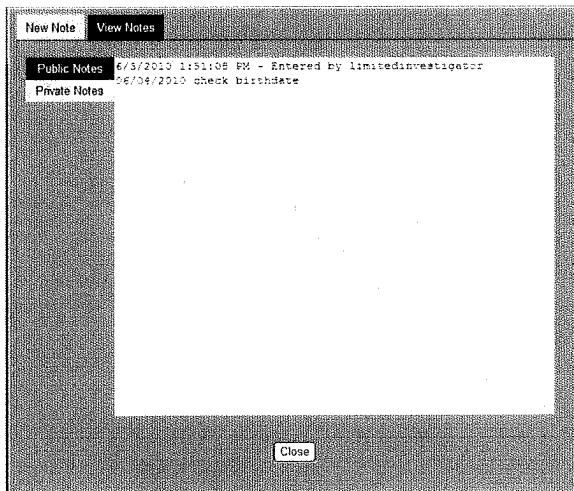
## Viewing Notes in a Record

To view notes in a record:

1. On any screen where you can view an image, select the red **Note**  icon. The **View Notes** screen is displayed.



2. Select **View Notes**.



3. Select **Public Notes** or **Private Notes** to view all notes.
4. Select **Close** to return to the record.



## Saving Your Work

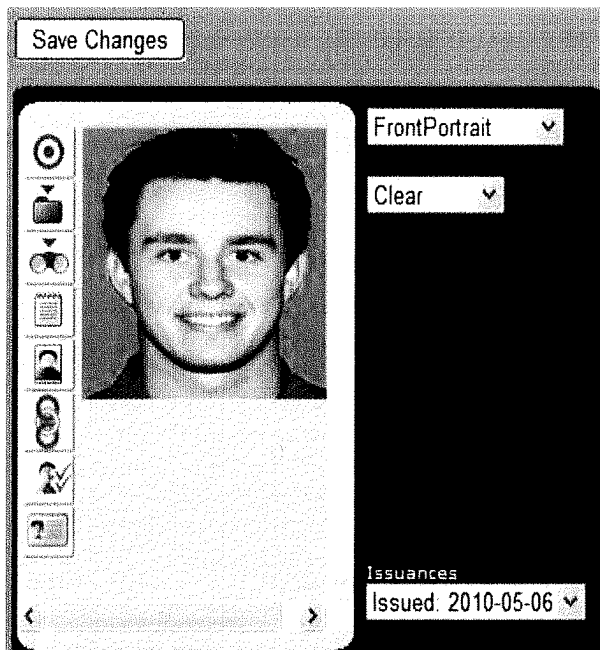
You can save work at any time from the Case Details or Comparison screen.

---

**Note:** The **Save Changes** button is not available to auditors or examiners.

---

1. Click on the case and the **Case Details** screen is displayed.
2. To save your work, select **Save Changes**. This selection saves your work, but does not close the investigation.





## Chapter 4. Working as an Auditor

The auditor reviews closed cases to determine if there is potential for suspected issues.

Specifically, this chapter contains the following topics:

- Using Filter Options to Find a Case
- Viewing a Closed Case From the Cases Tab
- Adding and Viewing Record Notes
- Viewing the Case History

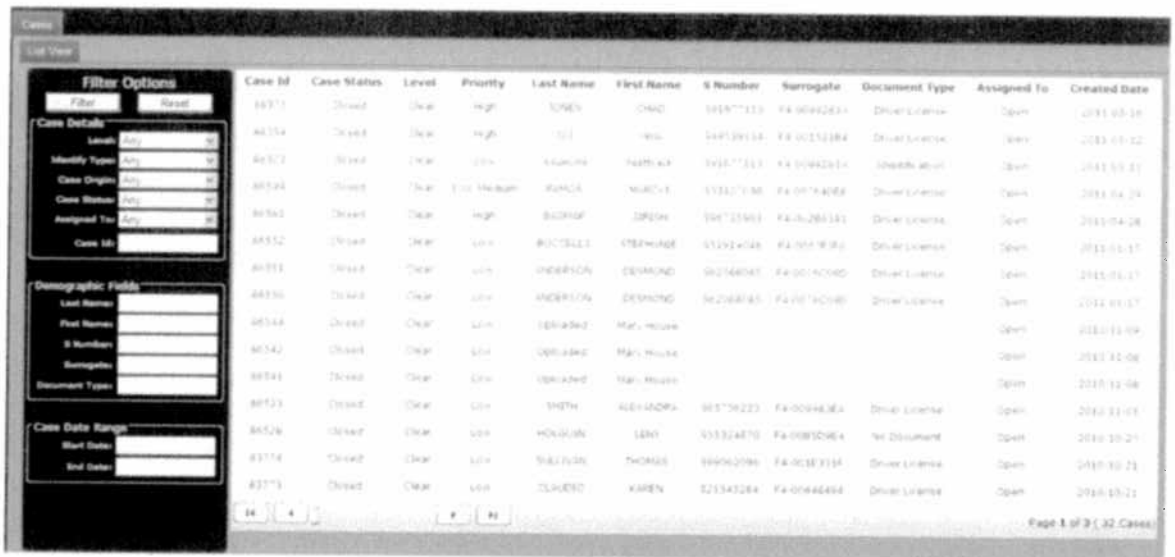
## Using Filter Options to Find a Case

See *Filter Options* for detailed information.

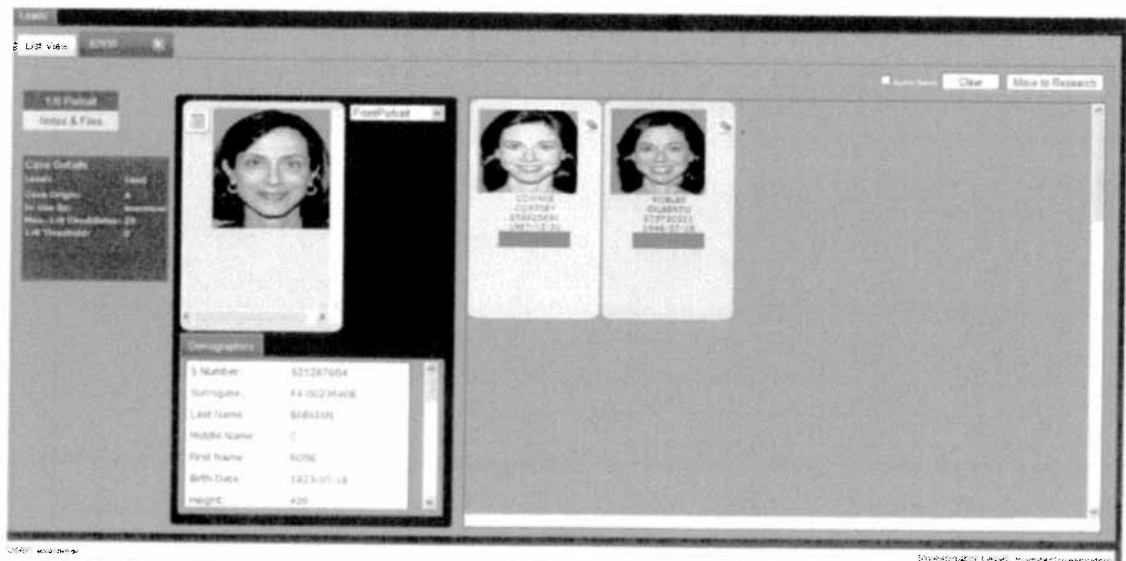
## Viewing a Closed Case from the Cases Tab

To view a closed case

1. Click the case that you want to view from the **Cases** tab.



2. The case opens automatically and the **Case Details** screen is displayed.



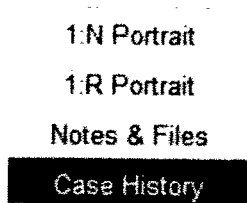
## **Adding and Viewing Record Notes**

See Adding Record Note and Reviewing Record Notes for detailed information.

## Viewing the Case History


You can view the progress of a case by reviewing the case history.

1. Click on the case in the search results list. The **Case Details** screen is displayed.
2. Select the **Case History** link.



A **Case History** table in a format similar to the following is displayed:

Investigator	Action	Assigned To	Workflow Type	Link Case Id	Date/Time
finvestigator	Looked at History				2010-06-10 4:06:17 PM
finvestigator	View Case				2010-06-10 4:06:10 PM
frsenior	View Case				2010-06-10 1:51:27 PM
frsenior	View Case				2010-06-09 4:44:30 PM
bsenior	View Case				2010-06-03 10:25:32 AM
finvestigator	Move to		Research		2010-06-03 10:25:05 AM
finvestigator	View Case				2010-06-03 10:24:48 AM
frsenior	View Case				2010-06-03 10:14:19 AM
bsenior	View Case				2010-06-03 10:05:38 AM
bsenior	Move to		Suspect Activity		2010-06-03 10:05:29 AM


Page 1 of 2 ( 19 Items)

The investigator, action taken on the case, workflow type, other linked cases, and date and time of each action is listed.

3. Select the **1:N Portrait** link or **1:R Portrait** to return to the **Case Details** view.





## Chapter 5. Working as an Examiner

The examiner reviews and sorts through new leads to determine if there is potential for suspected issues. Sorting investigations at this level reduces the overall caseload on investigators.

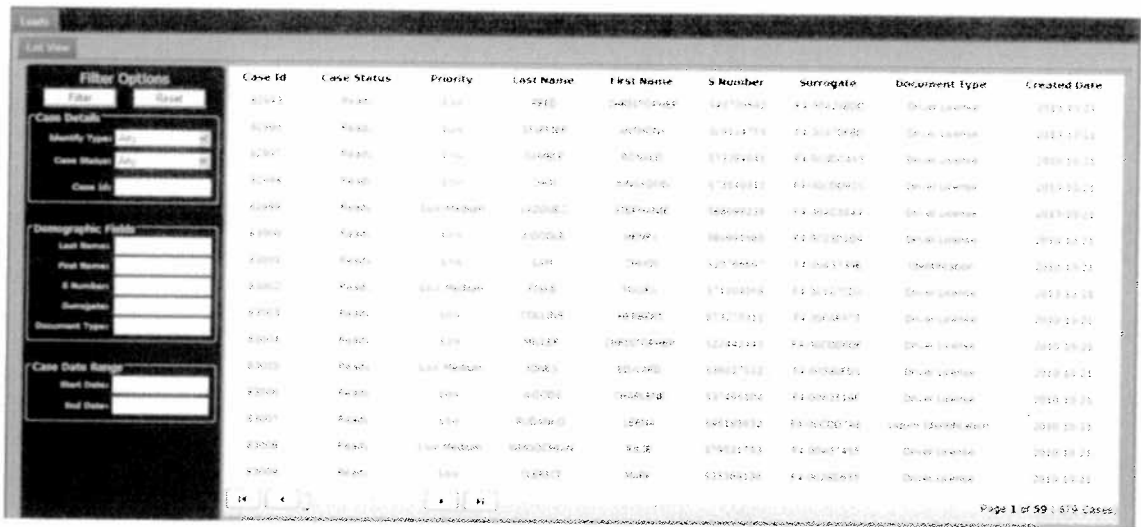
Specifically, this chapter contains the following topics:

- Viewing a Case from a Search Results List (Leads Tab)
- Comparing a Probe to Candidates List
- Using Filter Options to Find a Case
- Moving a Case to Research
- Closing a Non-Suspect Investigation
- Adding and Viewing Record Notes

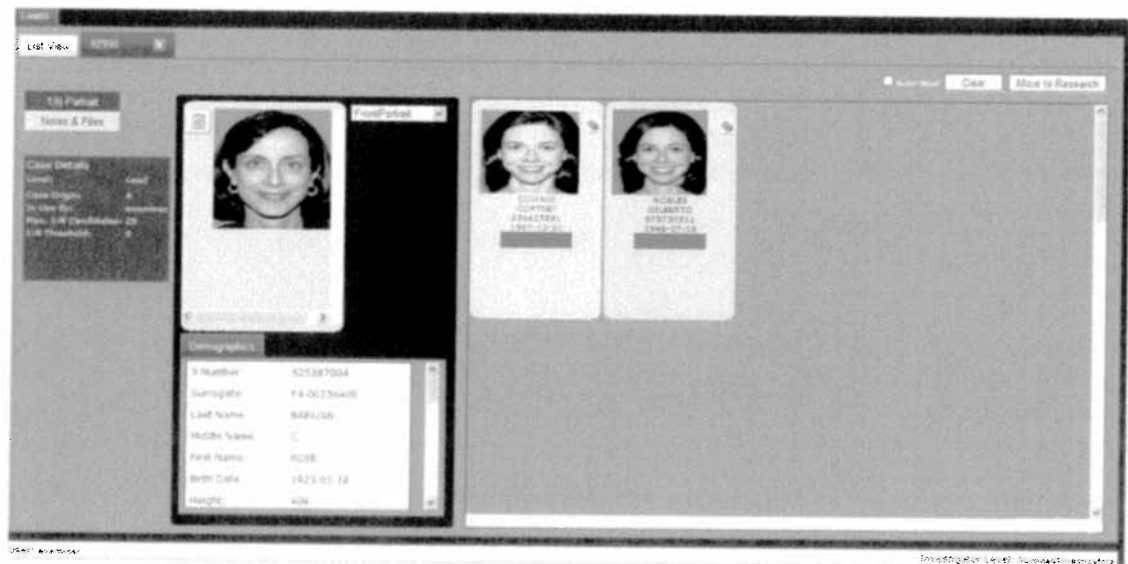
## Viewing a Case from a Search Results List (Leads Tab)

To view a case from a search results list:

1. Click the case that you want to view from the **Leads** tab search results list.



2. The case opens automatically and the **Case Details** screen is displayed.

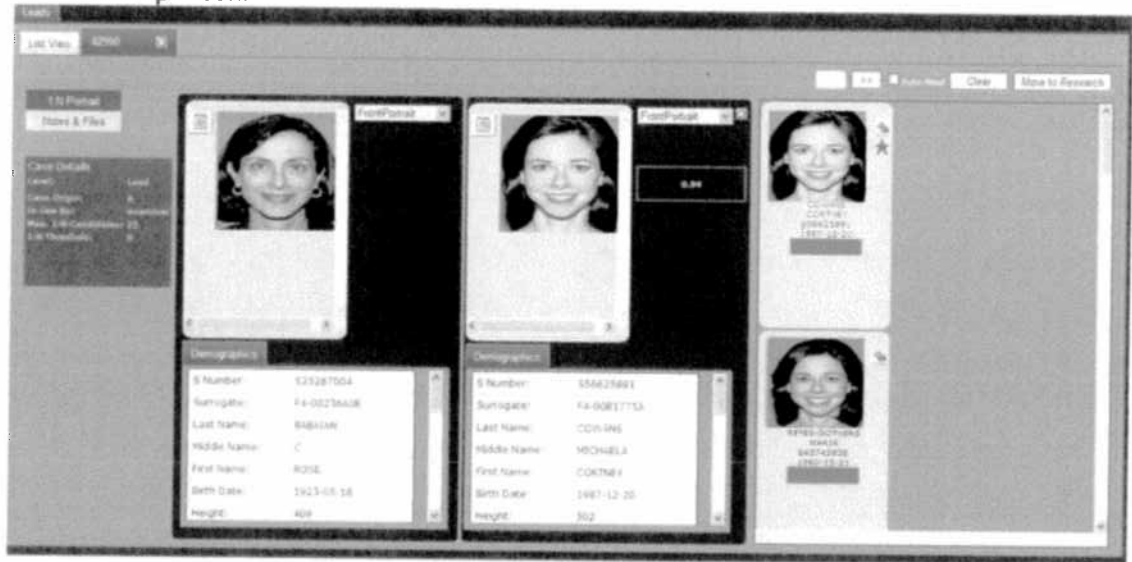


**Note:** If you navigate back to the **List View** tab once a case is opened, you must click **Reset** below **Filter Options** to see the status of the case change from **Ready** to **In Use**.

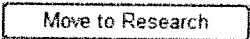
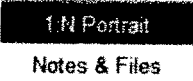
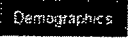
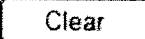

## Comparing an Image (Probe) to Candidates List (Examiner)

You can select a probe and compare it against a set of candidates (gallery). The candidates displayed in the gallery match the probe image at or above the stated matching threshold and are arranged from highest to lowest score.

1. Complete the procedure described in the previous section, *Viewing a Case from a Search Results List (Leads Tab)*.
2. Click on an image in the gallery. The Probe and Candidate information is displayed side-by-side for comparison.



3. From this screen you can:

Action	Selection
Return to the search results list.	<b>List View</b> tab.
Return to the gallery view.	<input checked="" type="checkbox"/> In the upper right corner of the candidate comparison screen.
Investigate the case further.	
Add notes/files.	
View demographics information.	
Close an investigation that has no suspected issues.	
View relative match scores of candidates.	View the score under the candidate image.
View the probe/candidate signature.	View the applicant signature drop-down selection on the candidate/probe image.
View the probe/candidate portrait.	View the front portrait drop-down selection on the candidate/probe image.
Perform a comparison with another candidate in the gallery.	Navigate between candidates when there are several candidates in a gallery. Use the  arrows to navigate one candidate forward or backward through the gallery. Note that the ★ indicates the candidate that is currently selected for a side-by-side comparison with the probe.
Select additional options and icons.	See <i>BI Application Options and Icons</i> for more information.

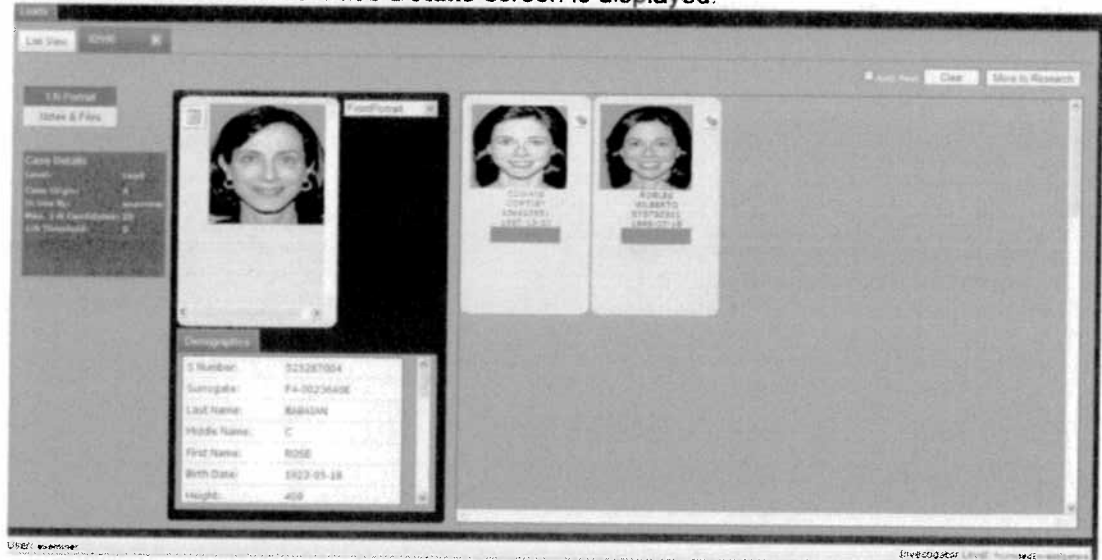
## **Using Filter Options to Find a Case**

See *Filter Options* for detailed information.

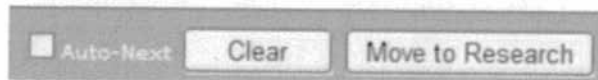
## Moving a Case to Research (Examiner)

This procedure describes how to move a case to research for further investigation.

1. Click on the case and the **Case Details** screen is displayed.



2. Select **Move to Research**.



The case is automatically moved to the **Cases** tab to be reviewed by an investigator.

---

**Note:** Examiners do not have access to a case once it has been moved to research.

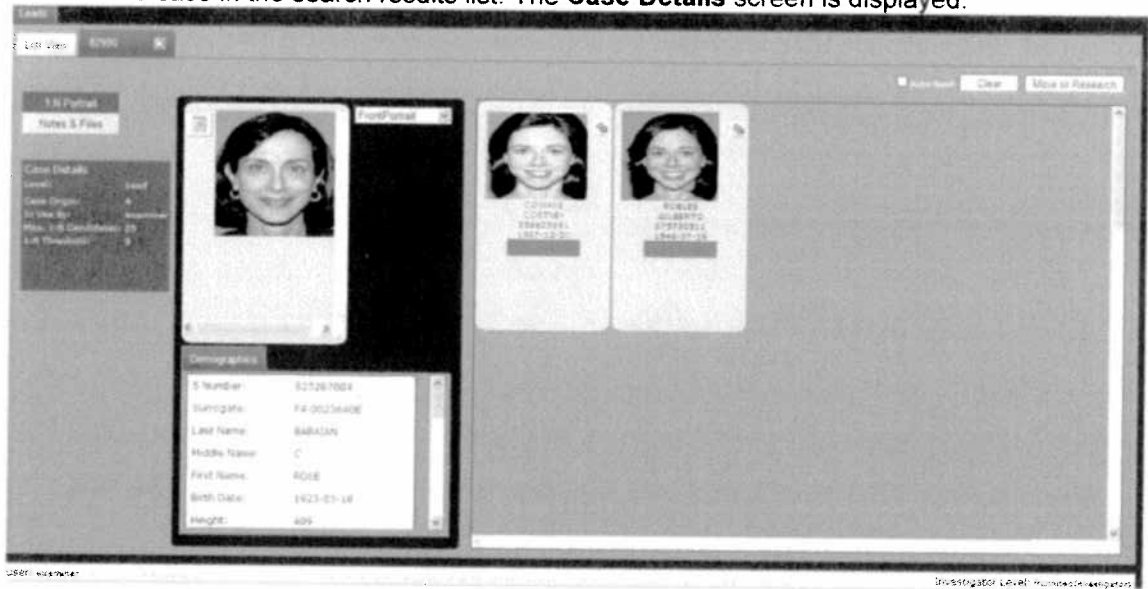
---

If the **Auto-Next** box is checked the oldest case available based on the display filters in the **Leads** tab will automatically display. If the **Auto-Next** box is not checked, you are returned to the **Leads** tab search results list.

## Closing a Non-Suspect Investigation

You can close cases with no suspected issues. To complete an investigation and update the database:

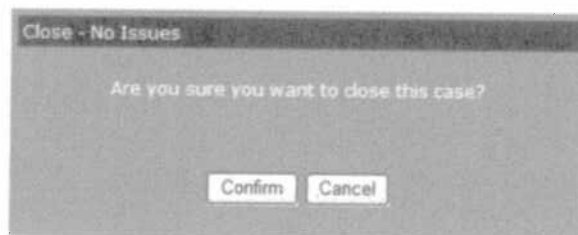
1. Click on the case in the search results list. The **Case Details** screen is displayed.



2. When you are finished with an investigation, select **Clear** to close the case.



A message similar to the following is displayed:



Select **Confirm** to close the case. Select **Cancel** if you do not want to close the case.

If the **Auto-Next** box is checked the oldest case available based on the display filters in the **Leads** tab will automatically display. If the **Auto-Next** box is not checked, you are returned to the **Leads** tab search results list.

3. When you are finished working, select **Log Off**.

## **Adding and Viewing Record Notes**

See *Adding Notes to a Record* to add notes to a record; see *Viewing Notes in a Record* to view notes.



## Chapter 6. Working as an Investigator

Investigators perform detailed case reviews to determine if there is fraud caught by facial matching. They can assign leads to themselves but cannot assign investigations to other investigators.

Specifically, this chapter contains the following topics:

- Comparing an Image (Probe) to Candidates List
- Starting an Investigation
- Assigning a Case to Self
- Setting Record Status
- Reviewing a Case History
- Creating a Record Dossier
- Creating a Case Dossier
- Creating a Side-by-Side Dossier
- Creating a Group
- Deleting a Group
- Adding a Record to a Group
- Deleting a Record from a Group
- Creating a Group Dossier
- Uploading an Image to a Group
- Starting an Investigation from an Uploaded Image
- Comparing Images in a Group

## Comparing an Image (Probe) to Candidates List (Investigator)

You can select a probe and compare it against a set of candidates (gallery). The candidates displayed in the gallery match the probe image at or above the stated matching threshold and are arranged from highest to lowest score.

To view a case from a search results list under the **Cases** tab.

1. Click on a case from the search results list.

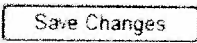
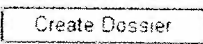


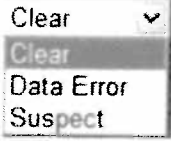
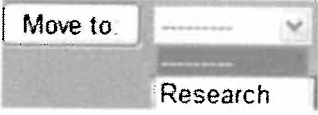
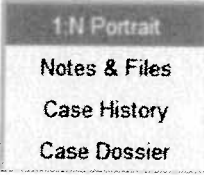
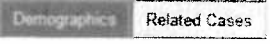
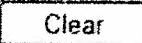
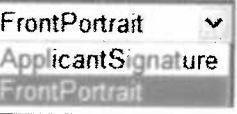
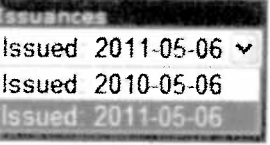



2. Click on an image in the gallery. The Probe and Candidate information is displayed side-by-side for comparison.



**Note:** If you navigate back to the **List View** tab once a case is opened, you must click **Reset** below **Filter Options** to see the status of the case change from **Ready** to **In Use**.

From this screen you can:

Action	Selection
Return to the search results list.	<b>List View</b> tab.
Return to the gallery view.	<input checked="" type="checkbox"/> In the upper right corner of the candidate comparison screen.
Save your work. This selection saves your work, but will not close the investigation.	
Create a dossier of a side-by-side comparison.	
Create a dossier of a record.	
Create a dossier of a case.	Case Dossier
Assign a case to yourself.	Assign to 
Mark the case.	 <ul style="list-style-type: none"> <li>Clear</li> <li>Clear</li> <li>Data Error</li> <li>Suspect</li> </ul>
Investigate the case further.	 <ul style="list-style-type: none"> <li>Move to</li> <li>Research</li> </ul>
Add notes/files, view case history, or create a case dossier.	 <ul style="list-style-type: none"> <li>1:1 Portrait</li> <li>Notes &amp; Files</li> <li>Case History</li> <li>Case Dossier</li> </ul>
View demographics information and any related cases.	 <ul style="list-style-type: none"> <li>Demographics</li> <li>Related Cases</li> </ul>
Close an investigation that has no suspected issues.	
View relative match scores of candidates.	View the score under the candidate image.
View the probe/candidate signature or portrait.	 <ul style="list-style-type: none"> <li>FrontPortrait</li> <li>ApplicantSignature</li> <li>FrontPortrait</li> </ul>
View the probes Issuances.	 <ul style="list-style-type: none"> <li>Issuances</li> <li>Issued 2011-05-06</li> <li>Issued 2010-05-06</li> <li>Issued 2011-05-06</li> </ul>

Action	Selection
Perform a comparison with another candidate in the gallery.	Navigate between candidates when there are several candidates in a gallery. Use the  arrows to navigate one candidate forward or backward through the gallery. Note that the ★ indicates the candidate that is currently selected for a side-by-side comparison with the probe.
Select additional options and icons.	See <i>BI Application Options and Icons</i> for more information.

## Starting an Investigation

This procedure describes how to retrieve a specific case and begin a new investigation.

1. Select the **Cases** tab and the search results list is displayed.



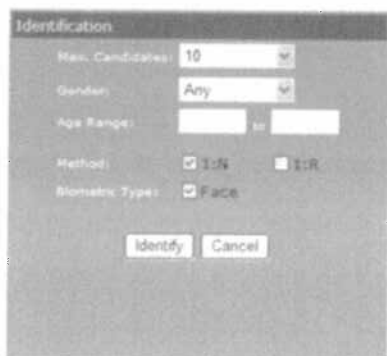
2. Narrow your search results by entering specific case information into filter options fields. See *Filter Options* for more information.
3. Click on the case.

The **Case Details** screen is displayed. This screen includes the selected case (label on tab identifies **Case Id**) and a gallery of candidate cases scoring above the confidence level (threshold) match.



4. Select the  option to start an investigation. The **Identification** screen is displayed.

5. Select specific identification options to narrow your search results during your investigation.



The screenshot shows a dialog box titled "Identification". It has the following fields and controls:

- Max. Candidates: 10 (dropdown menu)
- Gender: Any (dropdown menu)
- Age Range: [ ] to [ ] (two input boxes)
- Method:  1:N  1:R (checkboxes)
- Biometric Type:  Face (checkbox)
- Buttons: Identify, Cancel

- **Max. Candidates** - Maximum number of candidates determines the maximum number of matches you want to be returned by the BIS. Possible number of candidates ranges from 5 to 50 in increments of 5.
  - **Gender**
  - **Age range**
  - **Method** - 1:N or 1R matching
  - **Biometric Type** - Face
6. Select **Identify** to obtain cases that match your criteria.  
The results are displayed on your **My Identifications** tab.

## Assigning a Case to Self

This procedure describes how to assign yourself a case from the **Cases** tab for investigation.

1. Click on the case in the search results list. The **Case Details** screen is displayed.



2. Select your name from the **Assign to:** drop-down list. This example assumes your name is *frinvestigator*.



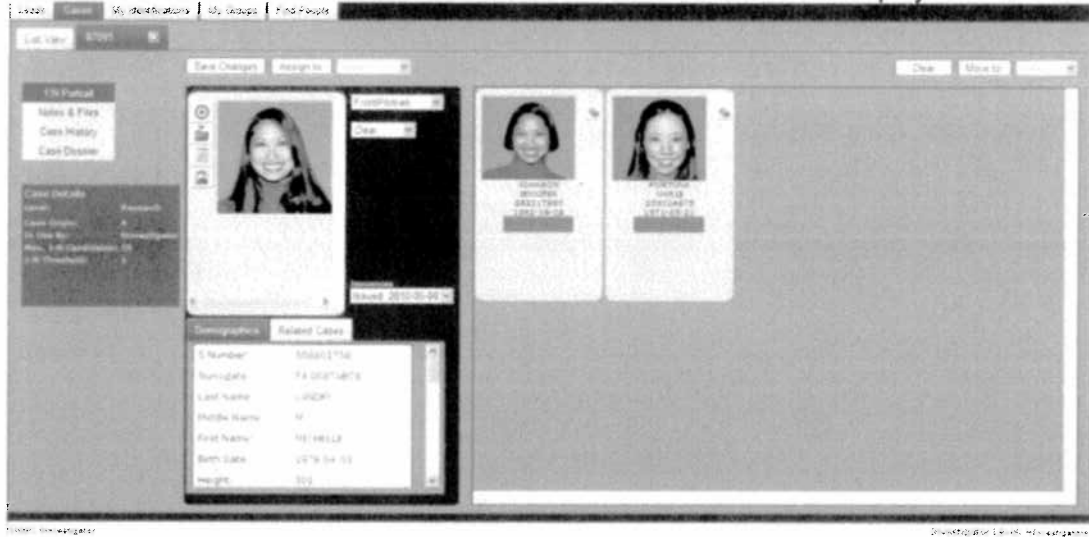
3. Click **Assign to:**. This case is now assigned to you.
4. To view all cases assigned to you, select your name from the **Assigned To:** drop-down list in the **Filter Options** in the **Cases -> List View** tab.



## Setting Record Status

This procedure describes how to assign status to a record.

1. Click on the case in the search results list. The **Case Details** screen is displayed.



2. Select the record status from the drop-down list on the probe or the candidate. The default status is **Clear**.





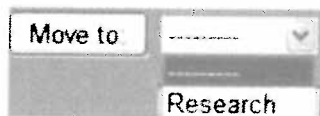
- **Data Error** – Indicates there may be a typographic or photo placement problem with the particular record. The image background turns blue.



- **Suspect** – Indicates that this specific record is flagged within the case being investigated. The image background turns orange.



3. Select **Save Changes**.
4. If you want a record to be reviewed by a senior investigator for further research, select **Move to: Research**.

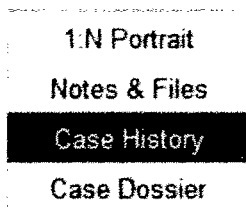


See *Moving a Case to Research (Examiner)* for more information.

## Reviewing a Case History

You can view the progress of a case by reviewing the case history.

1. Click on the case in the search results list. The **Case Details** screen is displayed.
2. Select the **Case History** link.



A **Case History** table in a format similar to the following is displayed:

Investigator	Action	Assigned To	Workflow Type	Link Case Id	Date/Time
frinvestigator	View Case				2011-05-23 6:13:19 PM
frinvestigator	View Case				2011-05-23 5:57:02 PM
nssuperjb	Linked Case Deleted				2011-05-23 4:29:02 PM
nssuperjb	Linked Case			82994	2011-05-23 4:12:11 PM
senior	View Case				2011-05-23 10:23:59 AM
uatssenior	Move to		Research		2011-05-20 1:50:04 PM
uatssenior	View Case				2011-05-20 1:49:55 PM
CIS	Case Generated				2011-05-20 1:49:25 PM

The investigator, action taken on the case, workflow type, other linked cases, and date and time of each action is listed.

3. Select the **1:N Portrait** or **1:R Portrait** link to return to the **Case Details** view.


## Creating a Record Dossier

You can create a document that contains a record's demographic information and portrait information, including notes. This document is known as a *record dossier*.

This procedure describes how to create a record dossier from the **Case Details** screen.

1. Open the record you want to convert into dossier form.



2. Select the Create Dossier  icon.
3. BI generates a PDF file of the selected dossier in a new window.



4. If you want to include notes in the dossier, checkmark the **Include Public Notes** and/or **Include Private Notes** box. Click **Re-generate**.

5. To save the dossier, click on the **Save** icon in the upper left corner of the screen.  
To print the dossier, click on the **Print** icon in the upper left corner of the screen.
6. To close the window, select **Close**.

## Creating a Case Dossier

You can create a document of a case that includes gallery images, flagged images and confidence (threshold) scores. This document is known as a *case dossier*.

When a dossier is generated, a note is added to the case history table.

This procedure describes how to create a case dossier.

1. Open the case you want to convert into dossier form.

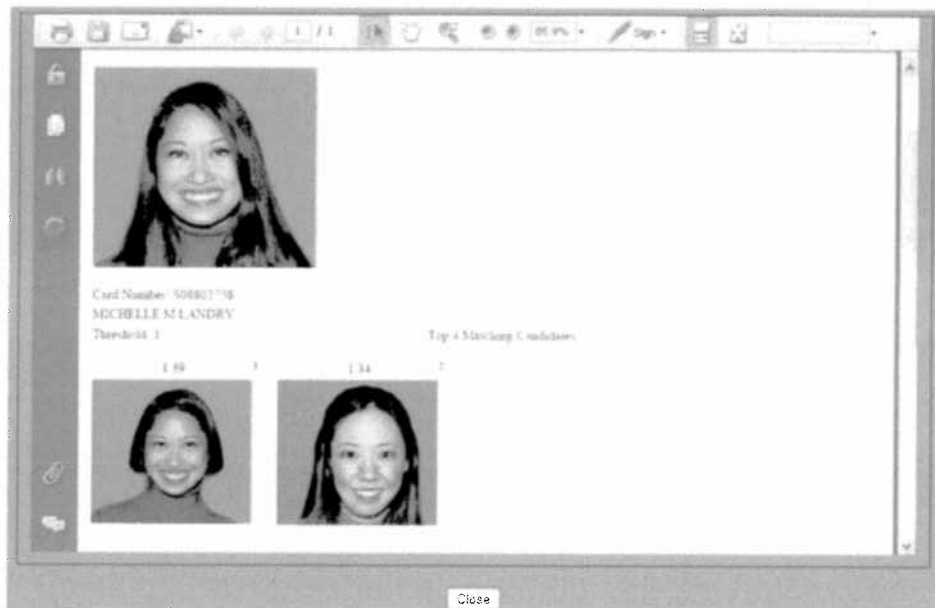


2. Select the **Case Dossier** link and the **Dossier Options** screen is displayed.



Determine if you want to include **Only Flagged Records**, **Include Scores**, and/or **Court Dossier**. Check the applicable boxes.

3. Click **Generate Dossier**. BI generates a PDF file of the selected dossier in a new window.



- To save the dossier, click on the **Save** icon in the upper left corner of the screen.
  - To print the dossier, click on the **Print** icon in the upper left corner of the screen.
4. To close the window, select **Close**.

## Creating a Side-by-Side Dossier

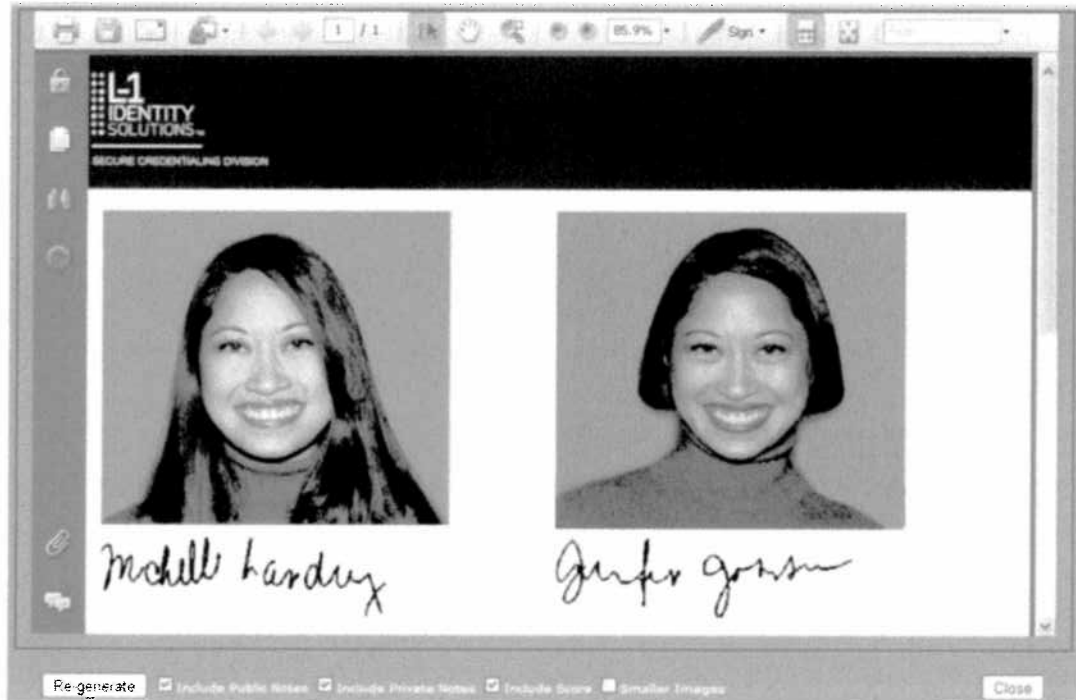
You can create a document of a case that includes a side-by-side comparison of the probe and a candidate that includes images, signatures, fingerprints and demographic information.. This document is known as a *side-by-side dossier*.

This procedure describes how to create a side-by-side dossier.

1. Open the case you want to convert into dossier form.



2. Select **Create Dossier** . BI generates a PDF file of the selected dossier in a new window.



3. Determine if you want to include **Public Notes**, **Private Notes** and/or **Facial Score**. Checkmark the applicable boxes. Click **Re-generate**.
4. To save the dossier, click on the **Save** icon in the upper left corner of the screen.  
To print the dossier, click on the **Print** icon in the upper left corner of the screen.  
To close the window, select **Close**.

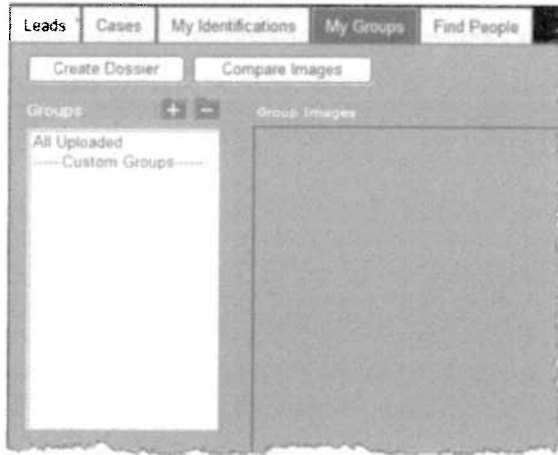



## Creating a Group

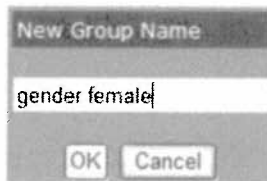
You can create a new group from the **My Groups** tab or from the  icon beside the image of any case.

**To create a new group from the My Groups tab:**

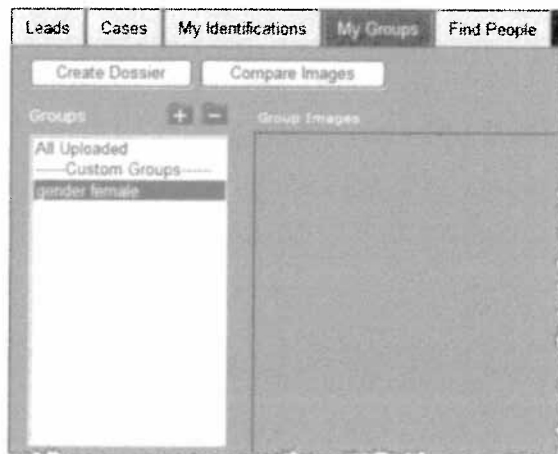
1. Select the **My Groups** tab.



2. Click the  icon. Type in the title of the group you want to create in the **New Group Name** textbox. This example creates the group named *gender female*.



3. Click **OK**. The new group is listed in the **Groups** list.



To create a new group from the  icon:

1. On any screen where you can view an image, select the  icon and the **My Groups** screen is displayed.



2. Type in the name of the group you want to create in the textbox. This example creates the group named *denver*.



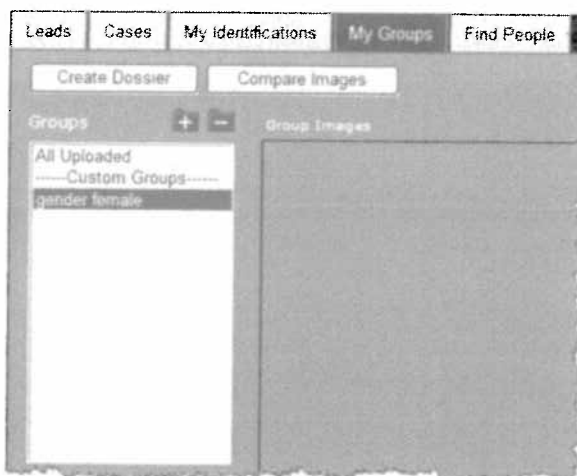
3. Click the **+** icon and the group is added to **My Groups**.




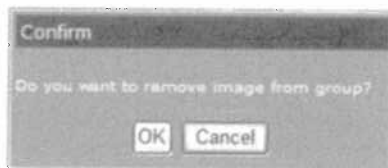
## Deleting a Group

This procedure describes how to delete a group.

1. Select the **My Groups** tab.




2. Select the custom group from the **Groups** list. This example selects *gender female*.
3. Select the  icon. A confirmation message is displayed. Select **OK** to complete the deletion.



Select **Cancel** to exit the screen without saving the change.

---

**Note:** When you delete a group, any images that were uploaded to the group will remain in the **All Uploaded** group. To delete images from this group click the red x  on the individual image.

---


## Adding a Record to a Group

This procedure describes how to add a record to a personal group.

---

**Note:** Images that are uploaded for comparison/investigation are not automatically enrolled in BI.

---

1. On any screen where you can view an image, select the  icon and the **My Groups** screen is displayed.



2. Highlight a group in the list to add a case to an existing group. This example selects *denver*.



3. Select **Add** and the record will be visible when you select the **My Groups** tab.




Select **Cancel** to exit the screen without saving the change.

## Deleting a Record from a Group

This procedure describes how to delete a record from a personal group.

1. Select the **My Groups** tab.

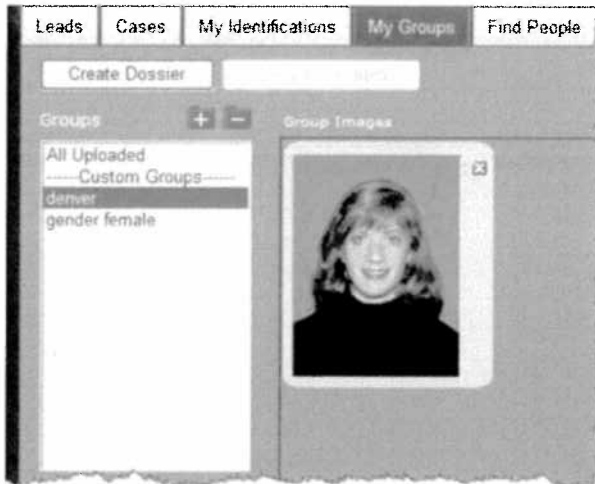


2. Select the red x  and the record is deleted from the group.

## Creating a Group Dossier

This procedure describes how to create a dossier from the **My Groups** tab.

1. Select the **My Groups** tab.
2. Highlight the group from the **Groups** list. This example selects *denver*.



3. Select **Create Dossier**. BI generates a PDF file of the selected dossier in a new window.



4. If you want to include names in the dossier and/or generate a court dossier, checkmark the applicable box. Click **Re-generate**.
5. To save the dossier, click on the **Save** icon in the upper left corner of the screen. To print the dossier, click on the **Print** icon in the upper left corner of the screen.
6. To close the window, select **Close**.



## Uploading an Image to a Group

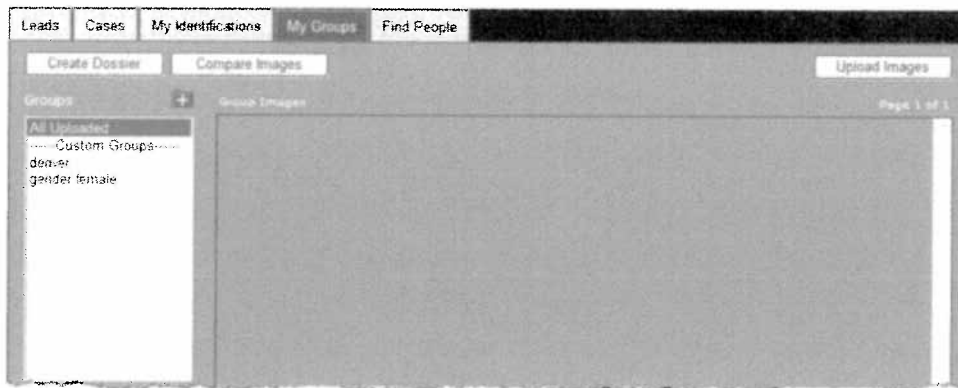
When you upload an image, it is added to the **All Uploaded** group. If you have created any custom groups, you can upload the image to the custom group at the same time. This procedure describes how to upload an image for further investigation.

---

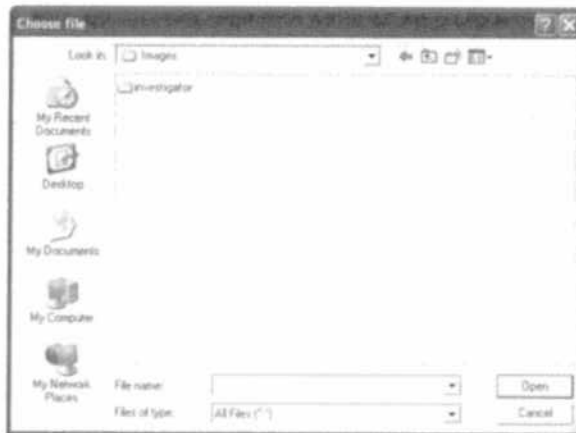
**Note:** Only files with a .JPG extension can be uploaded. The maximum file size for uploaded images is 1MB.

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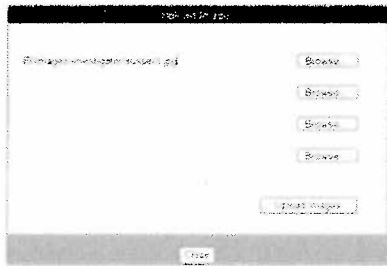
1. Select the **My Groups** tab.



2. Select **All Uploaded** from the **Groups** list.
3. If you want to add the image to a custom group in addition to the **All Uploaded** group, select the name of the custom group from the **Groups** list.
4. Select **Upload Images** and the **Upload Images** window is displayed.
5. Select **Browse**. The **Choose File** dialog box is displayed.



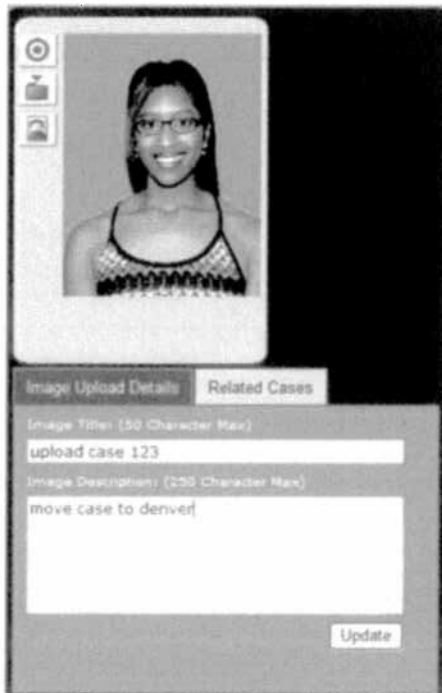
6. Navigate to the location of the file, and select **Open**. The file location is displayed in the **Upload Images** textbox.



7. Select one or more files in the **Upload Images** window. Select **Upload Images**. Select **Close**. The image is uploaded and displayed in the Group Images box.



8. Click on the image if you want to add an **Image Title** or **Image Description**. Click **Update** to save your changes.



## Starting an Investigation from an Uploaded Image


This procedure describes how to start an investigation from an uploaded image.

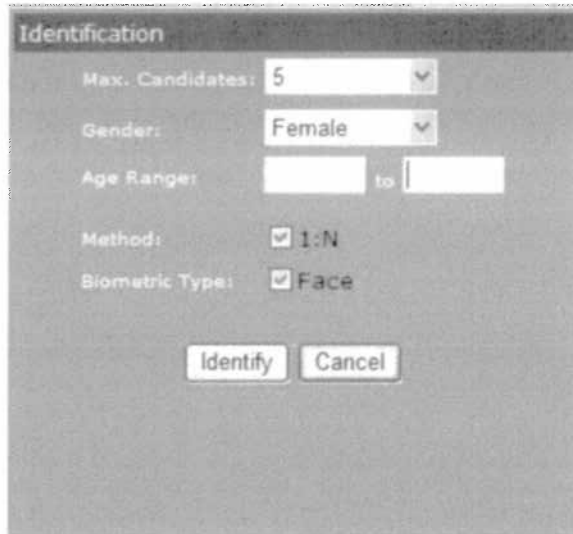
1. Upload the image. See *Uploading an Image to a Group* for details.



2. Click on the image to go to the detail view.



3. Select the  option to start an investigation. The **Identification Options** screen is displayed.



**Identification**

Max. Candidates: 5

Gender: Female

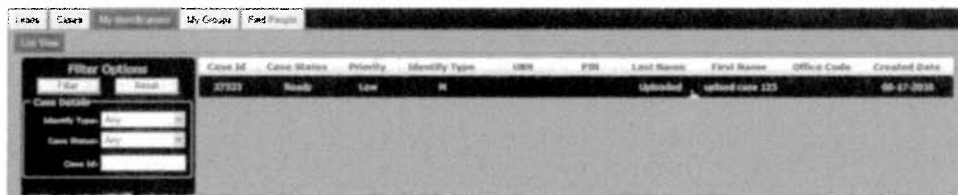
Age Range: to

Method:  1:N

Biometric Type:  Face

Identify Cancel

4. Select specific identification options you want to use during your investigation from the applicable drop-down lists. See *Starting an Investigation* for more information.
5. Select **Identify** to obtain cases that match your criteria. The uploaded case is located on your **My Identifications** tab.



Case ID	Case Status	Priority	Identify Type	Created Date
37922	Ready	Low	N	06-27-2016

6. Click on the case to view details.



**Case Details**

Agency Name: [Field]

Agency ID: [Field]

Agency Address: [Field]

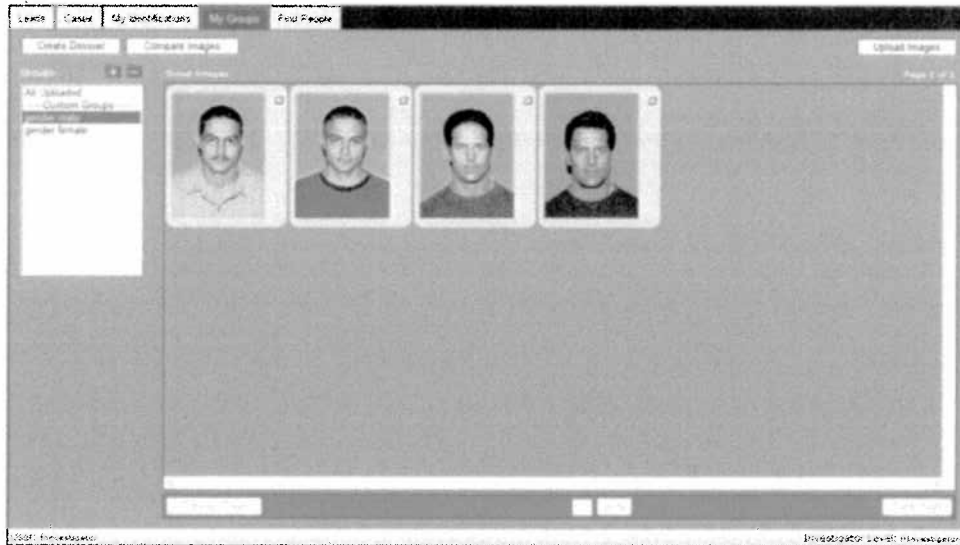
Agency Phone: [Field]

Update

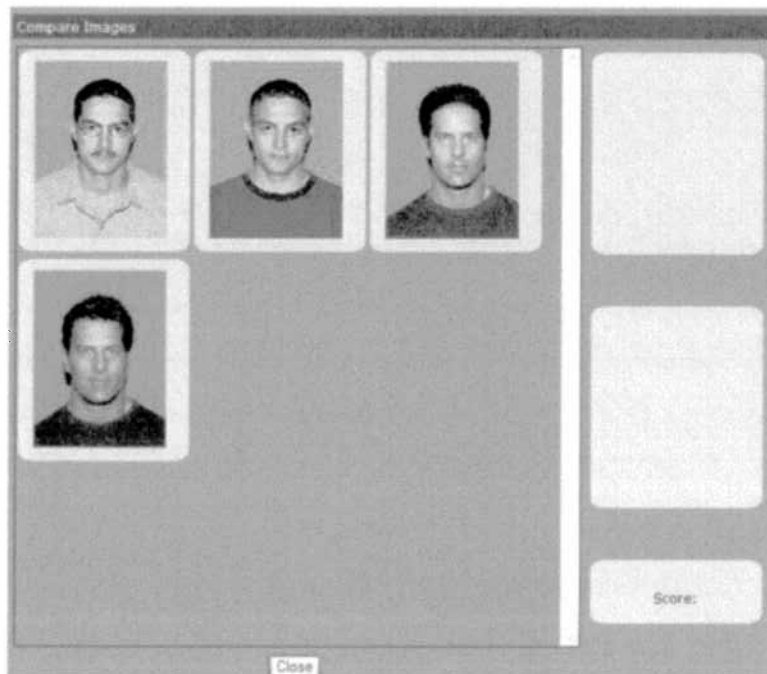
## Comparing Images in a Group

This procedure describes how to perform a 1:1 comparison of images in a group.

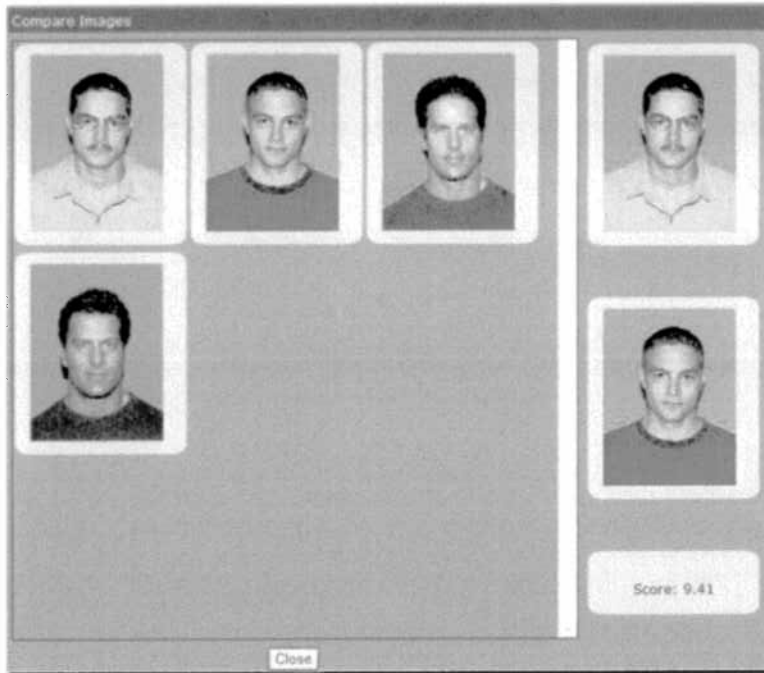
1. Add the images you want to compare to a group. See *Adding a Record to a Group* for this procedure.
2. Select the custom group from the Groups list. This example selects *gender male*.



3. Select . The left pane on this screen shows all images in the selected group.



4. Click on any two images in the left panel; the images display in the right panel. The comparison facial score of the two images appears in **Facial Score** field.



If other images need to be selected for comparison, click on the images on the right panel to de-select them.

5. Select **Close** to exit the screen.

## **Chapter 7. Working as a Watch Investigator**

Watch investigator can view low priority cases from the Cases tab, and share them with other watch investigators and external watch investigators. They can also close non-suspect investigations.

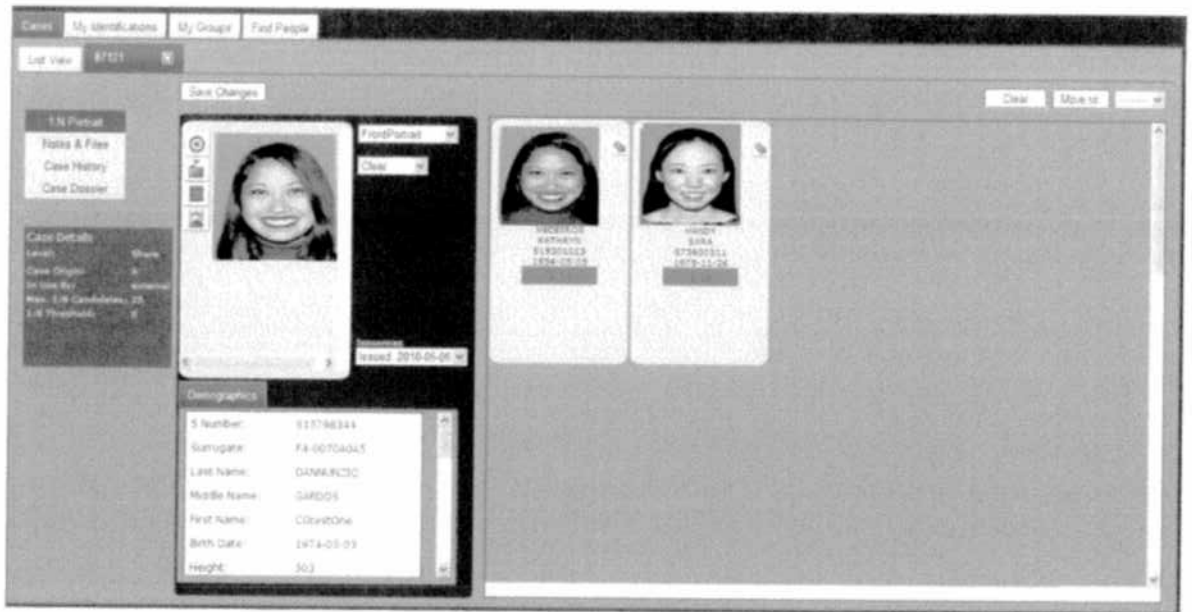
Specifically, this chapter contains the following topics:

- Sharing a Case
- Closing a Non-Suspect Investigation

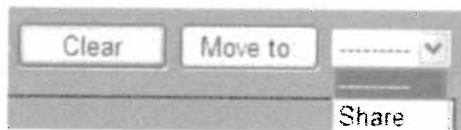
## Sharing a Case

This procedure describes how to share a case from the **Cases** tab for investigation.

1. Click on the case in the search results list. The **Case Details** screen is displayed.



2. Select **Share** from the **Move to:** drop-down list.



3. Click **Save Changes**.



## **Closing a Non-Suspect Investigation**

See Closing a Non-Suspect Investigation for detailed information.



## Chapter 8. Working as an External Watch Investigator


External watch investigators can add and delete records from a watch list, as well as change watch list settings.

Specifically, this chapter contains the following topics:

- Adding a record to a watch list
- Deleting a record from a watch list
- Changing watch list settings
- Viewing all watch lists

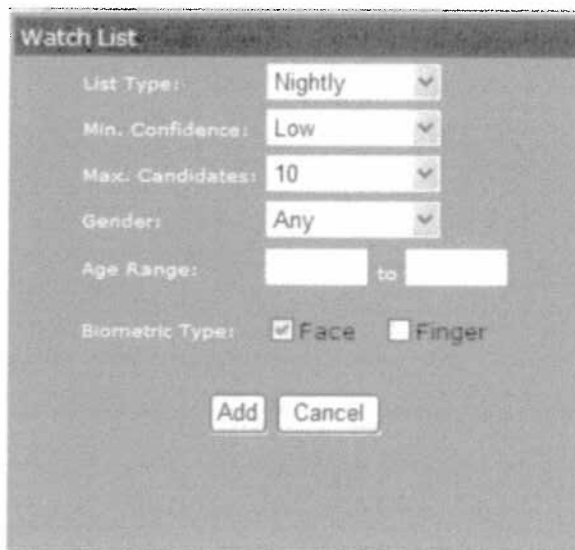
## Adding a Record to a Watch List

This procedure describes how to add a record to a watch list.

1. Open the case that you want to add to a watch list from a search results list. The **Case Details** screen is displayed.
2. Select the  option. The **Watch List** screen is displayed.



3. Select specific settings you want to use from the applicable drop-down lists.

A screenshot of a dialog box titled "Watch List". It contains several configuration options:

- List Type: Nightly (dropdown)
- Min. Confidence: Low (dropdown)
- Max. Candidates: 10 (dropdown)
- Gender: Any (dropdown)
- Age Range: [ ] to [ ] (text input)
- Biometric Type:  Face  Finger (checkboxes)


At the bottom, there are "Add" and "Cancel" buttons.

4. To save your changes, select **Add** and the case will be visible when you select the **My Watch List** tab. Select **Cancel** to exit the screen without saving the change.



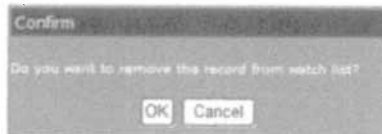
## Deleting a Record from a Watch List

This procedure describes how to delete a record from a watch list.

1. Select the **My Watch List** tab.
2. Select the red  on the image.



3. A confirmation message is displayed. Select **OK** to complete the deletion.



Select **Cancel** to exit the screen without saving the change.

## Changing Watch List Settings

This procedure describes how to change the settings for watch lists.

---

**Note:** To change the type of list the record is assigned to you must first delete the record from the watch list, then add it to the new type of list. Possible lists include Nightly, Weekly, Monthly. Nightly cases are run every night at a designated time. Weekly cases are run every Sunday. Monthly cases are run on the 1st of every month.

---

1. Select the **My Watch List** tab.
2. Click on the image. The **Settings** are displayed.
3. Make changes to the **Settings** using the applicable drop-down lists
  - Biometric Type.
  - Minimum confidence (**Min. Confidence**) determines the minimum matching threshold for finding candidates. In this example, the minimum confidence level is set to the lowest possible setting (Low) so any candidate with a minimum matching score will be included in the gallery. Setting ranges include:
    - Low = 0 - 1
    - Low-medium = 1 - 3
    - Medium = 3 - 5
    - Medium-high = 5 - 7
    - High = 7 - 1000
  - Maximum number of candidates (**Max. Candidates**) determines the maximum number of matches you want to be returned by the database. Possible number of candidates ranges from 5 to 90 in increments of 5.

Narrow your results by selecting specific traits (gender, age range) from the applicable Restrict Results lists.
4. Select **Update** to save your changes.





## Chapter 9. Working as a Senior Investigator

If you are a senior investigator, you can perform any of the tasks described in this chapter.

Specifically, this chapter contains the following topics:

- Assigning a case to any investigator
- Moving a case to research
- Moving a case to its final disposition
- Starting an investigation from the Case Investigations tab
- Searching for a case on the Case Investigations tab
- Viewing a case from a search results list
- Adding and viewing notes
- Removing a probe or suspect from a case
- Viewing the police action checklist
- Editing police action details
- Reviewing case history details
- Linking case links
- Merging police action statuses
- Viewing case links
- Deleting case links
- Closing a case
- Adding an image to an exclusion list
- Removing an image from an exclusion list
- Creating a links or exclusions dossier

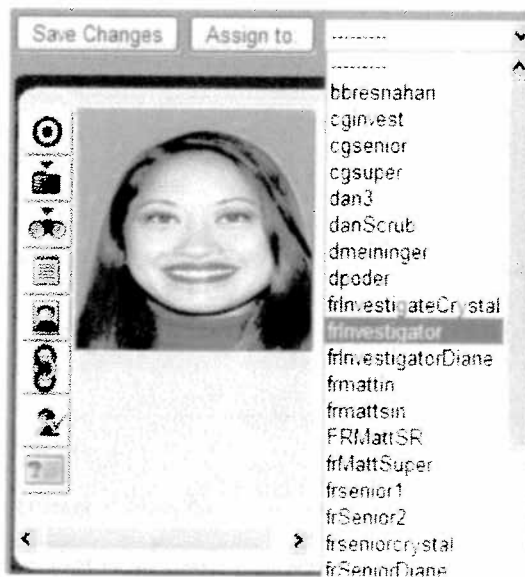
## Assigning a Case to Any Investigator

This procedure describes how to assign an investigation on the **Cases** tab to any investigator.

1. Click the case that you want to transfer to an investigator. The **Case Details** screen is displayed.



2. Select the name of the investigator you want to assign the case to from the assign drop-down list and click **Assign to**. This example selects *frInvestigator*.

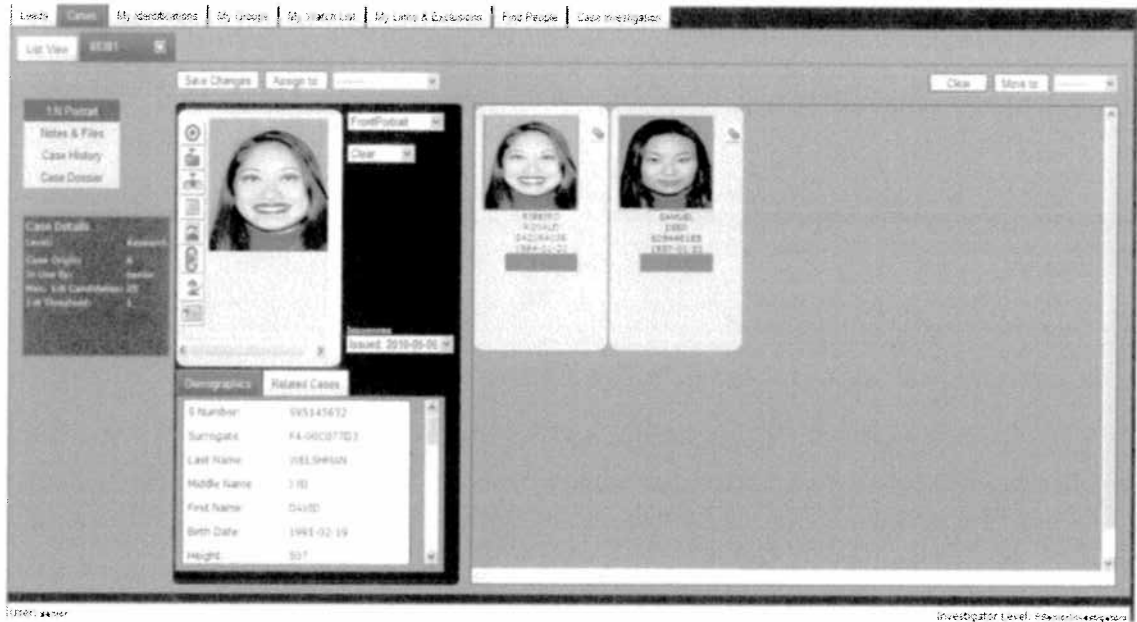


The case is transferred to the assigned investigator.

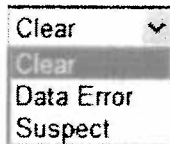
## Moving a Case to Research (Senior Investigator)

This procedure describes how to move a case from the **Cases** tab for further research.

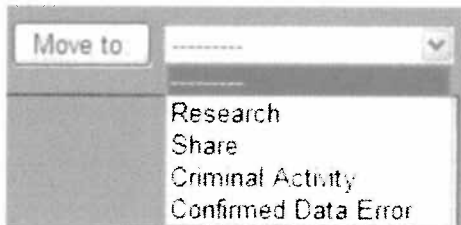
1. Click on the case and the **Case Details** screen is displayed.



2. Select the level for further adjudication from the drop-down list on either the probe or the candidate record.



3. Select **Move to Research** from the drop-down list.

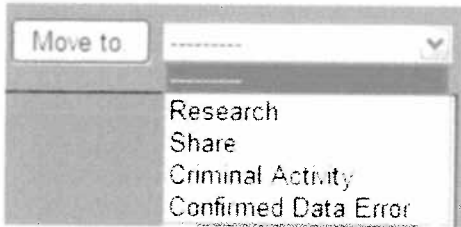


4. Select **Save Changes** to move for further research.

## Moving a Case to a Final Disposition

This procedure describes how to move a case to its final disposition:

1. From the **Case Details** screen:
2. Select the **Move to** reason from the drop-down menu; then select the **Move to** button:



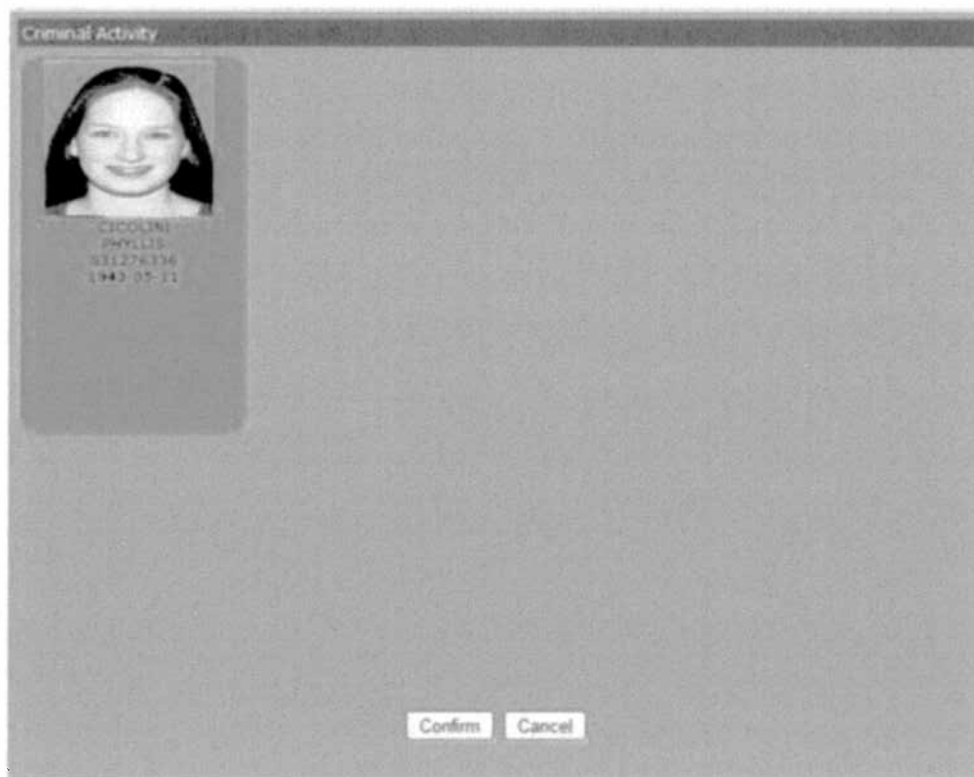
- Research – Moves the case to research.
- Share – Moves the case to share.
- Confirmed Data Error – Closes the case. Select a reason from the drop-down menu; then select **OK**. The image background turns burgundy.



- Criminal Activity – Closes the case and moves it to the **Case Investigations** screen. Select the **Confirm** or **Cancel** button. The image background turns yellow.



If you move a case to Criminal Activity you will be asked to confirm the status of the case:



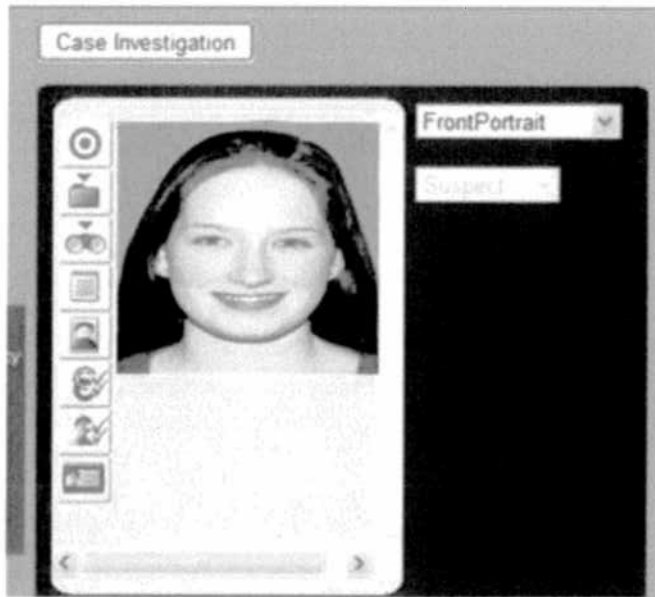
When a case has reached its final closed status, the case status can no longer be updated.

## Starting an Investigation from the Case Investigations Tab

A case that has been closed with the status of Criminal Activity can be further investigated from the **Case Investigations** tab. There are two different ways to start an investigation:

From the **Cases** tab:

1. Open the case.
2. Click the **Case Investigations** button.



3. The case displays:



From the **Case Investigations** tab:

See the following section, *Searching for a Case on the Case Investigations Tab* for detailed information.

## Searching on the Case Investigations Tab

You can use the Search Options on the **Case Investigations** tab to search for cases that have a final status of Criminal Activity. Use any of the search fields to narrow your search results to locate individual records, then select **Filter**.

Select **Reset** at any time to clear the fields.

**Search Options**

Find Reset

**Case Options**

Surrogate:

SSN:

S Number:

Last Name: \*

First Name: \*

FR Case Id:

DOB:

MSP Case:

RMV Case Id:

Investigator:  ▼

Police Action Status:  ▼

\* Wildcard searches allow for partial name searches. ? indicates replacing just one character, while \* indicates any string of characters.

★ Candidate In Case

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**Note:** On the **Case Investigations** tab the green star indicates the candidate, not the probe.

---



If you do not have complete or specific information about a case, enter any information you know is accurate in the text boxes on the screen and, perform one of the following types of searches:

**Wildcard searches:** Initiates a search for results when you have only partial information available for the search. Wildcard usage includes:

- The question mark (“?”) is used to represent a single alphanumeric character in a search expression. For example, searching for the name “Jo?” would yield results containing such names as “Joe” and “Jon”.
- The asterisk (“\*”) is used to match zero or more alphanumeric characters. For example, searching for the name “Jo\* Smi\*” retrieves results with names including “John Smith”, “Joseph Smithers”, and “Jody Smithe”. Avoid using the asterisk as the first character in a search string.

Search results are sorted in descending order by FR Case ID.



When a candidate is in the database more than once because of multiple issuances, they will display multiple times in the search results.

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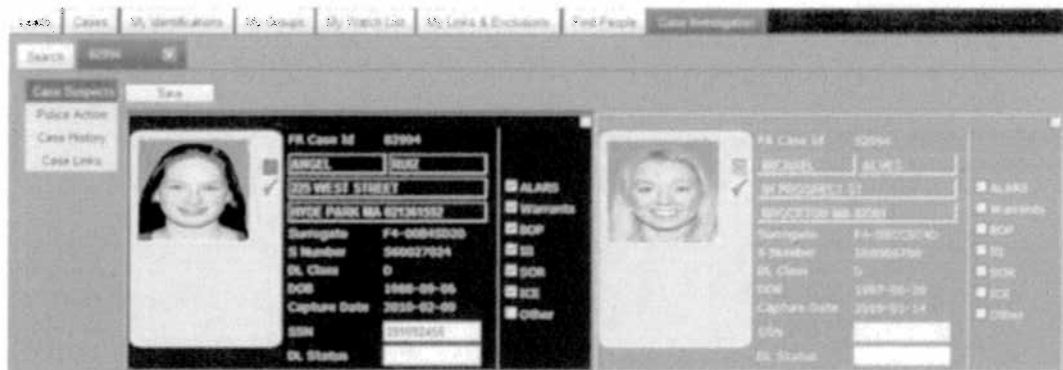
**Note:** Adding the SSN and DL Status for a record will update the information for all the occurrences across all the FR Cases e.g. if the individual is booked in more than one cases then the SSN and DL Status would be updated for all the cases. Additionally if the individual has more than one issuance, then the information would be updated for all the issuances.

---

## Viewing a Case from a Search Results List (Case Investigations Tab)

To view a case from a search results list:




Click the image on the case that you want to view. The case opens automatically and the **Case Suspects** screen is displayed.



The probe is displayed on the left in a dark blue frame. The suspects are displayed on the right in a gray screen. When there are multiple suspects you may need to use the scroll bar to view all suspects in a case.

For uploaded images the Full Name, Address, S Number, DL Class, DOB and Image Capture will not be displayed. It will have the label 'Uploaded Image' and the title given by the investigator when the image was uploaded.

From this screen you can:

Action	Selection
Return to the search results list.	<b>Search tab.</b>
Save your work. This selection saves your work, but will not close the investigation.	<u>Save</u>
Add a note to the record.	
View a note on the record.	
Enter the SSN for the probe or the suspect.	SSN field.
Enter the DL number for the probe or the suspect.	DL field.
Access the police action checklist for the probe or the suspect.	

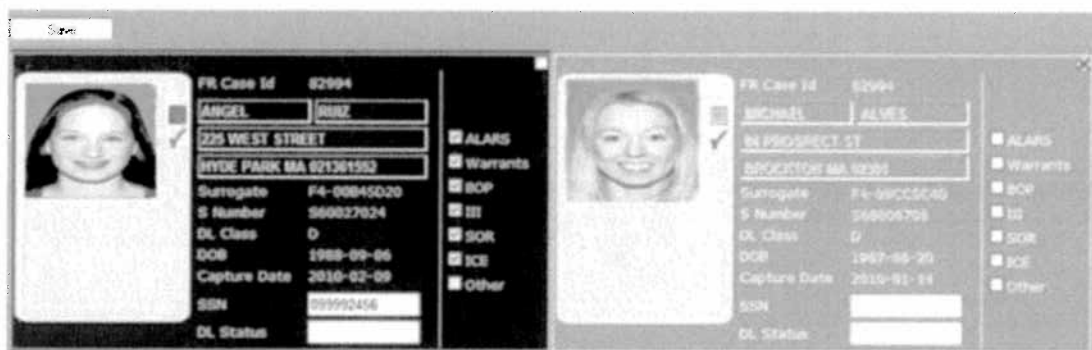
## Adding and Viewing Notes

See *Adding Notes* for detailed information on adding notes to a record. See *Reviewing Notes* for detailed information on viewing notes on a record.

## Removing a Probe or Suspect from a Case

You can remove a probe or suspect from an open case.

1. From the **Case Suspects** screen put a check in the box in the upper right corner of the record you want to remove.



2. Click **Save**.

Once the record has been saved, the red check remains on the record to indicate it is no longer part of the investigation.


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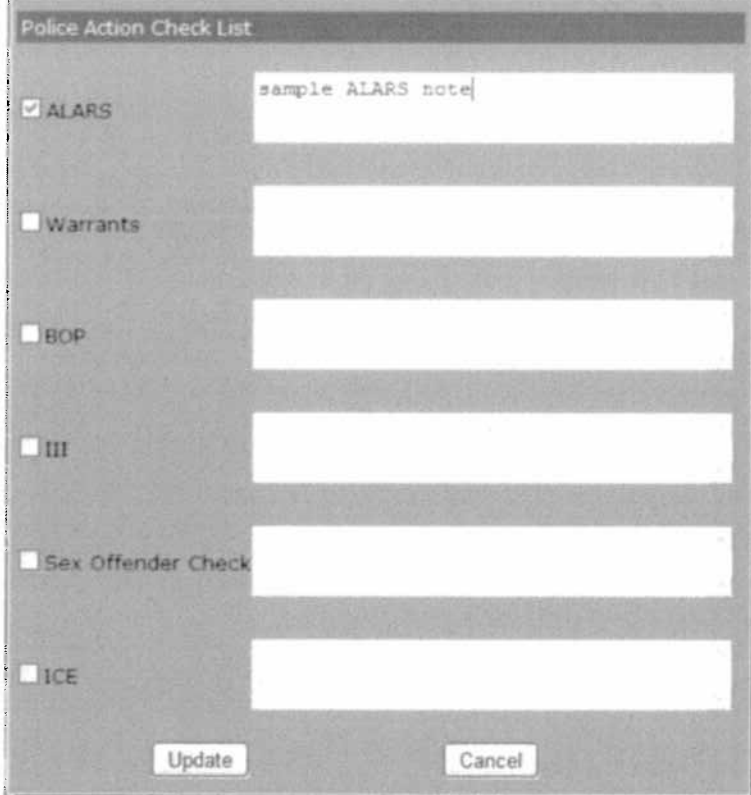
**Note:** You will not be able to make changes to the **SSN** or **DL** fields on a record that has been removed.

---

To return the record to the case, uncheck the box in the upper right corner of the record and click the **Save** button.

## Using the Police Action Checklist

To add or view notes on the police action checklist, select the green check mark  on either the probe or the suspect record. The **Police Action Check List** displays:



The screenshot shows a dialog box titled "Police Action Check List". On the left side, there is a vertical list of items, each with a checkbox. The first item, "ALARS", has its checkbox checked. Below each item is a text input field. The "ALARS" field contains the text "sample ALARS note". The other items are "Warrants", "BOP", "III", "Sex Offender Check", and "ICE", all with unchecked checkboxes and empty text fields. At the bottom of the dialog, there are two buttons: "Update" and "Cancel".

Select **Update** to save your changes. Select **Cancel** to exit this screen without saving your changes.

## Editing Police Action Details

The **Police Action Details** screen shows the current status and the history of the police actions taken on a case. To edit information on this screen:

1. Click the **Police Action** link.

Case Suspects

**Police Action**

Case History

Case Links

The **Police Actions Details** screen displays:

Leads Cases My Identifications My Groups My Watch List My Links & Exclusions Find People Case Investigation

Search 88370

Case Suspects **Police Action Details** Save

Police Action Case History Case Links

FR Case Id 88370  
ALVIN FERRELL BERRIOS 90123  
385 NEWTON ST 5678912345678  
FALL RIVER 1111 MA 027218002

Surrogate F4-00892645  
S Number 529977761  
DL Class  
DOB 1981-09-25  
Capture Date 2010-05-06

Status Assigned Admin

Investigator	Status	Status Date
senior	Assigned Admin	2011-05-16 02:49:49

Police Action Data

Other Agency  Rev Date

Investigator  MCP Case

RMV Case Id

2. Make changes to the **Status** field or fields under **Police Action Data**.
  - When the **Status** is set to Assigned Invest, the **Investigator** drop-down is enabled. Otherwise the **Investigator** field is not available.
  - When the **Status** is set to Other Agency, the **Other Agency** drop-down is enabled. Otherwise the **Other Agency** field is not available.
3. Click **Save**.

---

**Note:** When information for a case changes, those changes are applied to all cases linked to the original case.

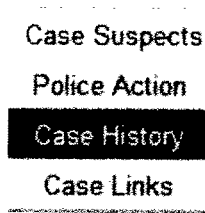
When you make a change to both the Other Agency and Investigator fields, only the last change is recorded in the Case History.

---

## Reviewing Case History Details

You can view the progress of a case by reviewing the case history.

1. From the **Case Details** screen select the **Case History** link.



A **Case History** table in a format similar to the following is displayed:

FR Case Id	Investigator	Action	Assigned To	Workflow Type	Link Case Id	Date/Time
82963	senior	View Police Action				2011-05-23 7:48:00 PM
82963	senior	View Case Suspect				2011-05-23 7:47:24 PM
82963	senior	View Case Suspect				2011-05-20 4:27:57 PM
88326	senior	Linked Case			82963	2011-05-17 5:50:57 PM
82963	senior	Linked Case			88326	2011-05-17 5:50:57 PM
82963	senior	View Case Links				2011-05-17 5:49:52 PM
82963	senior	Add Case Attachment				2011-05-17 5:49:35 PM
82963	senior	Added Notes				2011-05-17 5:49:35 PM
82963	senior	Looked at History				2011-05-17 5:48:48 PM
82963	senior	View Police Action				2011-05-17 5:48:30 PM

Navigation icons: Home, Previous, Next, End

Page 1 of 17 ( 167 Items)

The investigator, action taken on the case, workflow type, other linked cases, and date and time of each action is listed.

2. Select the **Case Suspects** link to return to the **Case Details** view.

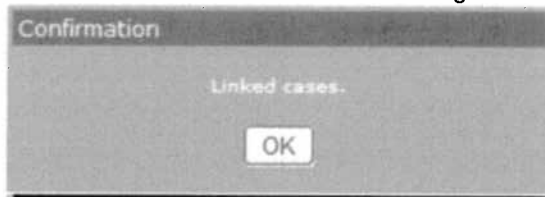


## Adding Case Links

If you are reviewing a case and feel it is similar to another case, you can link the cases. There are two different ways you can link cases:

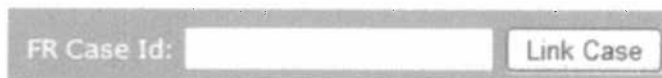
This procedure describes how to manually link cases from the **Search Results** screen.

1. Select two or more cases by placing a check mark in the white box in the upper right corner of each case. Use the **Select All** button to select all cases on the Search Results Screen. Use the **Clear All** button to clear the cases selected.
2. Select the **Link** button.
  - If you are linking two or more cases that have police actions, the **Select Police Action** box displays. Mark the radio button next to the action you want to keep and click **Select**.
3. Once the cases are linked the following confirmation box displays:



This procedure describes how to manually link cases from the **Case Links** screen.

4. From an open case, select the **Case Links** link. The **Linked Cases** table displays.
5. Enter the **FR Case ID** number you want to link to the case open for review.



6. Click the **Link Case** button. The cases are linked.
  - When there are multiple cases listed in the **Linked Cases** table, the newly added FR Case ID number appears in numerical order.
  - When a linked case does not have a status of Criminal Activity it shows as grayed out in the **Linked Cases** table.

Click the **Case Suspects** link to return to the **Case Details** view.

---

**Note:** The **Select Police Action** box does not display when you manually link cases from the **Case Links** screen.

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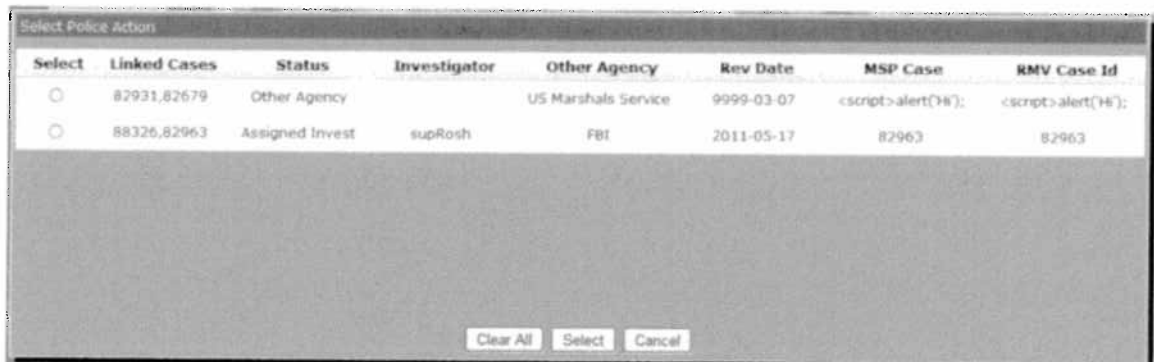
## Linking Cases with Different Police Action Statuses

A case can only have one police action status. When you link cases from the **Search Results** screen, and the cases have different police action statuses, you will be prompted to choose one police action status for the cases. To link two or more cases with different police action statuses:

1. Place a check mark in the white box in the upper right corner of each case. Use the **Select All** button to select all cases on the Search Results Screen. Use the **Clear All** button to clear the cases selected.



2. Select the **Link** button. The **Select Police Action** box displays:



3. Mark the radio button next to the action you want to keep and click **Select**.

All linked cases will now have the selected status.

Use the **Clear All** button to delete all existing Police Action Statuses.

## Viewing Linked Cases

You can view cases linked to the original case by clicking the **View** link in the **Linked Cases** table. To access this table click the **Case Links** link from the **Case Details** screen.

Linked Cases						
View	Delete	FR Case Id	Type	Workflow Type	Assigned	Case Created
<a href="#">View</a>	<a href="#">Delete</a>	82963	C	Criminal Activity	Open	2010-10-21

---

**Note:** When a linked case does not have a status of Criminal Activity it shows as grayed out in the **Linked Cases** table.

---

## Deleting Linked Cases

### To delete a linked case:

1. Select the **Delete** link in the row of the case you want to unlink.

FR Case Id:

Linked Cases

View	Delete	FR Case Id	Type	Workflow Type	Assigned	Case Created
<a href="#">View</a>	<a href="#">Delete</a>	88326	C	Criminal Activity	Open	2011-05-12

2. Select **OK** to delete the case. Select **Cancel** to cancel the transaction.

Linked Cases Delete

Do you want to delete Case link?

### To delete all case links:

1. Select the **Delete All Links** button.

2. Select **OK** to delete all cases. Select **Cancel** to cancel the transaction.

Linked Cases Delete

Do you want to delete Case link?

---


**Note:** When a case is unlinked, all police action data, including status, is cleared for the unlinked case.

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## Adding an Image to an Exclusion List

Records in an exclusion list for a probe image will not display the next time a search is performed for that probe image. This exclusion functionality streamlines the investigative process so that non-fraud image matches do not display in search results more than one time.

**To add an image to an exclusion list from the Gallery view of a case:**


1. From a results list, click on a case. The **Case Details** page displays.
2. Click on a candidate in the gallery. Select the Exclusion icon  on the candidate record.



3. Select the **Exclusion Type**. Possible types to checkmark are **Public** and/or **Private**.



Select **Apply** to complete the action. Select **Cancel** to exit the screen without saving the change.

4. The icon on the candidate record changes color to red  to indicate that the record is excluded from a case.



5. Select **Save Changes**. The icon on the case record changes color to red with two arrows

 to indicate the records has an exclusion.

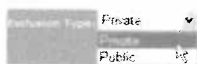


6. Select the **My Links & Exclusions** tab.

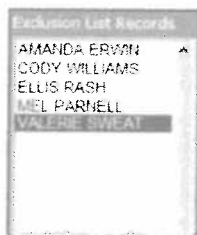


7. Select the **Exclusion List** tab to view the exclusions.

8. Select the **Exclusion Type** from the drop-down list.



9. Select the exclusion from the **Exclusion List Records** list. This example selects *Valerie Sweat*.

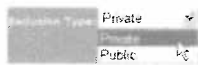


**To manually add an image to an existing exclusion list:**

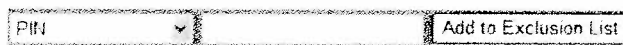
1. Select the **My Links & Exclusions** tab.



2. Select the **Exclusion List** tab.
3. Select the **Exclusion Type** from the drop-down list.



4. Select the exclusion from the **Exclusion List Records** list. This example selects *Valerie Sweat*.
5. Enter the **PIN** number in the text box. This number is available in the **Demographics** field of a case.



6. Click **Add to Exclusion List**. The image appears in the **Exclusion Images** field.




## Removing an Image from an Exclusion List

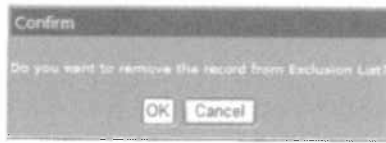
This procedure describes how to remove an image from an exclusion list.

1. Select the **My Links & Exclusions** tab.



2. Select the **Exclusion List** tab.
3. From the **Exclusion Images** field, click the red  next to the record you want to remove.
4. A confirmation message is displayed. Select **OK** to complete the action.



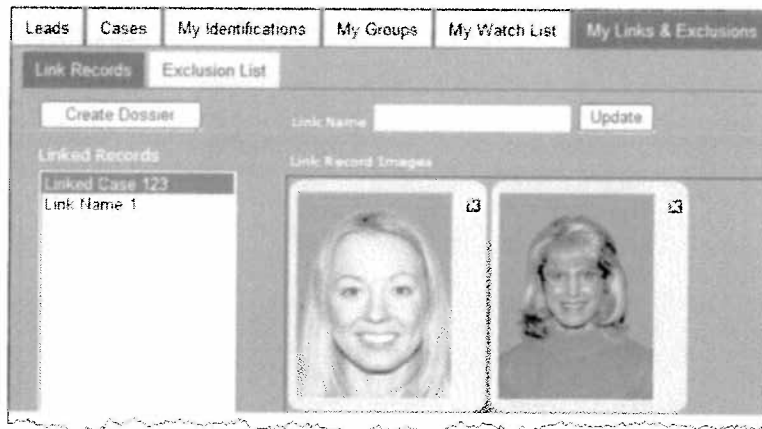


Select **Cancel** to exit the screen without saving the change.

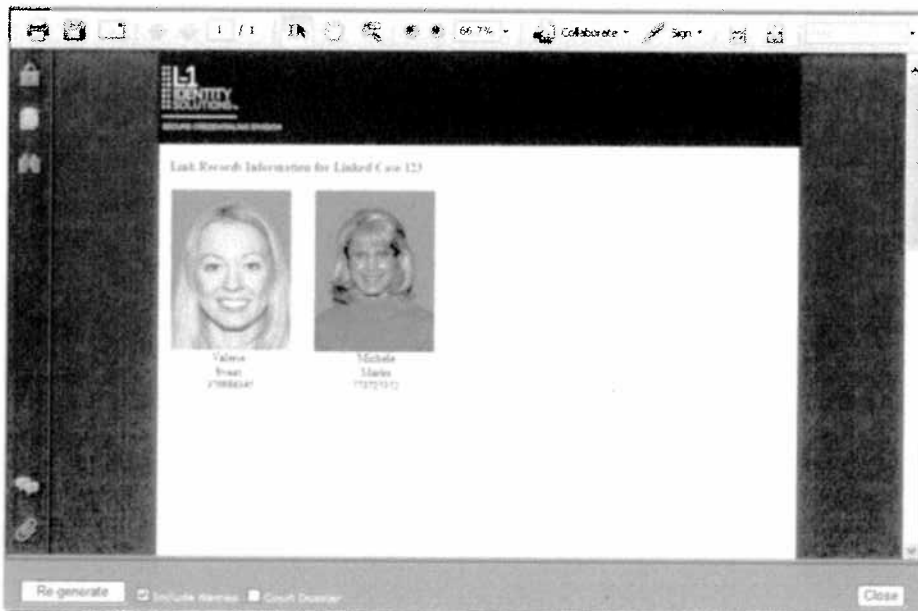
## Creating a Links or Exclusions Dossier

You can create a dossier from the **My Links & Exclusions** tab. The same dossier information is generated via either the **Link Records** or the **Exclusion List** tab.

1. Select the **My Links & Exclusions** tab.
2. Select the **Link Records** or the **Exclusion List** tab. This example selects *Link Records*.



3. Highlight the group from the **Linked Records** list. This example selects *Linked Case 123*.
4. Select **Create Dossier**. BI generates a PDF file of the selected dossier in a new window.



5. If you want to include names in the dossier and/or generate a court dossier, checkmark the applicable box. Click **Re-generate**.
6. To save the dossier, click on the **Save** icon in the upper left corner of the screen. To print the dossier, click on the **Print** icon in the upper left corner of the screen.

To close the window, select **Close**.