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August 12, 2008

MEMORANDUM

To: Senator John Arthur Smith, Chairman
Representative Luciano "Lucky" Varela, Vice-Chairman

From: Aurora B. Sánchez, IT/Program Evaluations Manager
John Ketchens, Program Evaluator

Subject: Status Review of the Automated Fingerprint Imaging System for the Department of Public Safety (08-07)

EXECUTIVE SUMMARY

The status review of the Department of Public Safety's (DPS) Automated Fingerprint Imaging System (AFIS) was to determine the status of the statewide implementation of the system, including user and technical training and support, and overall use of the appropriated funds.

Globally known as the automated fingerprint identification system, AFIS is a storage, search and retrieval system for finger and palm print electronic images and demographic data used for criminal and civil purposes.

DPS is responsible for taking and maintaining fingerprints of individuals convicted of crimes and of employees in safety-sensitive positions that by law require fingerprinting. AFIS supports background checks conducted by the Federal Bureau of Investigation (FBI) for governmental agencies requiring individuals to have a nationwide background check.

DPS requested a $4 million general fund appropriation for AFIS in its FY06 Information Technology (IT) Plan identifying it as its number one priority and critical to both the safety of the public and law enforcement. The 2005 General Appropriation Act appropriated $2.9 million to implement AFIS contingent on DPS publishing a plan on how it would reduce the paper backlog. DPS also received a $605 thousand grant from Homeland Security to buy additional Livescan machines for specified detention centers.

On August 15, 2005, DPS requested and received certification for release of $100 thousand for project planning and on February 24, 2006, it requested the remaining $2.8 million to complete the AFIS replacement and upgrade.

DPS entered into several contracts the most significant of which is the $2.6 million fixed-price deliverables contract to plan, implement and maintain New Mexico's new AFIS. The contract required a 20 percent retainage on one deliverable and a $2 million performance bond to cover data conversion and system installation.

The Department of Information Technology (DoIT) is responsible for overseeing all technology projects. The project oversight bureau assesses the status of a project based on self-reported data, which showed the AFIS project was behind schedule. The quality control staff assesses the status of the project based on the contents of IV&V reports, which reported an on going complaint that the AFIS primary contractor was not forthcoming with finalized project documentation and issues with testing existed. Based on the self-reported data and the IV&V reports from April 2006 through April 2007, DoIT placed the AFIS project on its watchlist in October 2007. AFIS was also on LFC's watchlist because of the impact the project on various agencies and the missed implementation date, which placed the project over one year behind schedule.

DPS conditionally accepted the system in June 2007 and immediately entered into maintenance. No payments were made to the primary contractor for any deliverables until March 2008.

In July 2008, DPS with DoIT's approval successfully negotiated the nine outstanding items with the primary contractor. The system was officially accepted on July 16, 2008. Although DPS has officially accepted the system, it does not plan to close out the project and revert the remaining $110.9 thousand because other issues may arise with the project that will require financial resources. Moreover, the appropriation is available through the end of FY10.

BACKGROUND INFORMATION

Globally, the Automated Fingerprint Identification System (AFIS) is considered a storage, search and retrieval system for finger and palm print electronic images and demographic data. AFIS is a high speed, high capacity image processing system that enhances the ability of latent fingerprint examiners to search and identify crime scene evidence and fingerprint technicians to search prints of arrested individuals against a large pool of fingerprint records.

These systems are replacing outdated manual methods of fingerprint classification employed by law enforcement agencies with specialized software and powerful computer hardware. These systems create unique mathematical algorithms based upon relationships between the characteristics present within the finger or palm friction ridge skin structures that can be compared with millions of prints on file within a matter of seconds.

When searching an unknown print against the AFIS database, the system provides a list of the closest matching fingerprint images from the tenprint database. The fingerprint examiner verifies the results and decides whether there has been a positive identification made against any one of the system nominated candidates. Despite the progress made in computer hardware and software, current AFIS technology has not yet eliminated the need for human verification of questionable or poor quality match results.

NEW MEXICO'S AUTOMATED FINGERPRINT IMAGING SYSTEM

Section 9-19-1 NMSA 1978 makes the Department of Public Safety (DPS or Department) responsible for taking and maintaining fingerprints of individuals convicted of crimes and of employees in safety-sensitive positions that by law require fingerprinting. **Appendix A** summarizes the agencies that by law require fingerprinting of employees or are responsible for taking fingerprints that are then maintained by DPS.

The Department's mission is "to build a safer, stronger New Mexico by providing quality law enforcement services, training, disaster and emergency response; and technical communications and forensics support to the public and other governmental agencies". To meet its statutory responsibilities and to achieve its mission, one of the tools DPS uses is an automated fingerprint system. The automated fingerprint imaging (identification) system (AFIS) supports background checks conducted by the Federal Bureau of Investigation (FBI) on individuals that are required by a governmental agency to have a nationwide background check. The requesting agency provides the individual with the appropriate applicant fingerprint cards with the correct agency identifier. Qualified individuals at various agencies take the applicants' fingerprints. DPS provides periodic training to individuals taking fingerprints. The training is generally provided in conjunction with the governmental agencies that have a requirement to conduct nationwide fingerprint background checks.

According to information posted on the DPS website, the rejection rate for New Mexico fingerprints submitted to the FBI for processing is about 16 percent: 4.1 percent for criminal and 12.3 percent for civil. It appears that positive matches of fingerprints on file had increased since the implementation of AFIS.

Project Status. DPS requested a $4 million general fund appropriation for AFIS in its FY06 Information Technology (IT) Plan identifying it as its number one priority and critical to both public and law enforcement safety. The main reason it gave for the replacing the system was that the legacy hardware for both AFIS and the interim distributed imaging system (IDIS) from the FBI was beginning to fail. The Livescan equipment at the nine detention centers was almost ten years old. The proprietary IDIS supported by DPS at 13 locations statewide was running on outdated Windows NT servers located in Santa Fe, Rio Rancho and Albuquerque.

According to the IT Plan, a new finger printing system was essential to provide agencies uninterrupted applicant screening services, complete connectivity and technical support. Decreasing manual intervention, improving fingerprint processing accuracy and shortening turn-around time for responding to agencies that submit fingerprints were identified as goals that a new AFIS could help achieve. An electronic interface to the criminal history database was also proposed for easy access to criminal information. The project proposed 25 Livescan and 35 CardScan workstations at end user sites around the state.

Funding. The 2005 General Appropriation Act (Laws 2005, Section 7, Subsection 30) appropriated $2.9 million "to implement an automated fingerprint imaging system contingent on

the department publishing a plan on how it will reduce the paper backlog". The appropriation was extended three times with the final extension granted through fiscal year 2010. DPS received a $605 thousand grant from Homeland Security to buy additional Livescan machines for specified detention centers. **Appendix B, Table 3** shows the locations with Livescan machines and highlights those paid for with the Homeland Security monies.

The table below shows the funds received for the AFIS project and the balance available as of the end of July 2008.

Table 1. Project Appropriations and Available Balance
(in thousands)

General Fund Appropriation	$2,900.0
Homeland Security Funds	$605.0
Amount Already Paid	($1,404.5)
Outstanding SMI Invoices	($1,629.1)
Future Unpaid Maintenance	($360.5)
Balance Available	**$110.9**

Source: LFC Analysis

Project Certification. On August 15, 2005, DPS requested and received certification for release of $100 thousand for planning from the Office of the Chief Information Officer the predecessor to the Department of Information Technology.

DPS requested its second certification on February 24, 2006 for the remaining $2.8 million to complete the replacement and upgrade of AFIS. The State CIO certified the release of the funds on March 26, 2006 with the following contingencies:

- Collaboration and communication with other law enforcement entities;
- A proposal of interfaces and data submission quality standards;
- A plan to resolve arrest fingerprint backlog;
- An effort to consolidate AFIS systems within the state and
- A strategic plan by September 12, 2006.

Contracts. DPS entered into several separate contracts or direct purchase orders to complete the AFIS project as follows:

- Planning, implementation and maintenance services;
- Independent validation and verification (IV&V) services;
- Criminal Justice Information System interface services
- Acceptance Testing preparation and assessment support services;
- Interfaces with the Albuquerque and Las Cruces police departments' systems;
- Legal services; and
- Technical support.

The next table shows each vendor, the amount of the contract or direct purchase order, and the amount expended for the project.

Table 2. AFIS Project Contractors
(in thousands)

Contractor	Contract Amount	Amount Paid plus Outstanding Invoices	Contract Balance
SMI (1)	$3,186.3	$2,730.3	$456.0
PDS	$53.4	$57.6	($4.4)
POD	$32.9	$32.7	$0.2
FingerPrint USA	$30.0	$94.9	($64.9)
Motorola	$95.0	$95.0	$0.0
NuDawn (2)		$1.5	($1.5)
Clifford Rees (2)		$1.5	($1.5)
Printack International (2)		$20.1	($20.1)
Total	**$3,397.4**	**$3,033.6**	**$363.8**

Source: LFC Analysis of DPS Data

(1) Includes the equipment paid for with Homeland Security funds.
(2) No contract. Assume procured through a direct purchase.

Planning, implementation and maintenance. On April 3, 2006, DPS signed a $2.6 million fixed-price deliverables contract to plan, implement and maintain New Mexico's new AFIS. The contract required a 20 percent retainage or $104.8 thousand on one fixed-price deliverables (not all the deliverables required a retainage to be withheld). Deliverable number 4 did not contain a retainage, but did contain a provision for paying 25 percent of the deliverable upon full system acceptance. The contractor was required to post a $2 million performance bond to cover data conversion and system installation. The contractor's response to the RFP shows that the warranty period for AFIS is for six months following the acceptance of the system. The contract combines system warranty and maintenance at an annual cost of $153.5 thousand, which DPS is currently paying in 34 monthly installments. DPS is also paying $$155.9 thousand for Livescan maintenance over a 22 month period.

It appears that even though there were outstanding issues that the warranty period for AFIS started at go-live (June 1, 2007) and that DPS paid the maintenance on a system that was not fully accepted. According to DPS officials, the system was conditionally accepted on June 1, 2007 based on acceptable delivery and resolution of all outstanding issues. At the beginning of July 2008 there were fifteen outstanding requirements. While negotiations with the contractor were underway, six of the outstanding requirements successfully passed acceptance testing and were removed from the negotiations. The system was officially accepted on July 16, 2008 after DPS negotiated and DoIT approved the nine outstanding requirements (see **Appendix C**). According to DPS officials, they recognize that starting the maintenance period before having a fully accepted system does not follow best practices; however, it needed help from the contractor's customer service engineer to successfully complete the project.

Table 3. AFIS System Contract Deliverables and Cost

Deliverables	Cost
Deliverable One: Project Management	Included
Deliverable Two: Converted Identification Records Databases	$524,000
Deliverable Three: Software Development, Test and Delivery	Included
Deliverable Four: NM-AFIS System	$1,375,000
Deliverable Five: User Training	Included
Deliverable Six: System Acceptance (1)	See Note
Deliverable Seven: System Maintenance	$590,917
TOTAL	$2,489,917

Source: LFC Analysis of DPS Contract

(1) There is no cost for system acceptance; however, the 20% retainage withheld on deliverable 2 and the remaining 25% of the cost for deliverable 4 are paid to the vendor at this point in the contract.

The FBI certifies numerous products as having been tested and found to be compliant with its Integrated Automated Fingerprint Identification System (IAFIS) image quality specifications. The certification process is not to endorse a particular product but to certify that the product meets FBI standards. The products selected for this project by DPS are on the FBI's certified list.

As of July 2008, 63 devices were installed at law enforcement and non-criminal entities. 58 were submitting information back to the main server, 5 other devices were establishing connectivity, a prerequisite before data can be electronically sent to DPS. **Appendix B Tables 1 through 3** summarize the location of Livescan and CardScan machines at criminal and non-criminal entities.

IV&V and Acceptance Testing. In March 2006, DPS signed a $49.7 thousand fixed-price contract to provide independent validation and verification (IV&V) on the AFIS project. In November 2007, DPS signed a contract for $3,500 for close out IV&V services. The monthly IV&V status reports provided to DPS and DoIT from April 2006 through April 2007 reveal an ongoing complaint that the primary contractor was not forthcoming with finalized project documentation and that during the project's lifecycle, little attention was paid to requests for additional business rules governing project information gathering, testing, training, and eventual operation.

On July 1, 2006, DPS signed a $30 thousand price agreement for support in preparing for system acceptance testing, monitoring of the tests, and assessing the test results through the use of the requirements traceability matrix. The matrix was used to ensure that the delivered system satisfied the contract and functioned as required.

Interface Services. On July 1, 2006, DPS signed a $32.9 thousand fixed price contract to help develop and deliver a complete plan for accomplishing the electronic integration and interface between AFIS and the Criminal Justice Information System (CJIS). The contract required a

retainage of 20 percent or $7,647. The contract was amended once to extend the contract date to February 15, 2007.

Interfaces were also needed between DPS and the Albuquerque and Las Cruces police departments' systems to allow data exchange. Since both departments already had a fingerprint identification system and it would have been costly for each department to replace them, the project paid $95 thousand to upgrade the Motorola Printrak equipment used by both departments and create an interface to DPS's AFIS. According to DPS officials, the equipment installed did not meet National Institute of Standards and Technology (NIST) for transmission to the FBI.

Data Conversion. The data conversion plan dated June 2006 outlines the conversion process of 450,000 fingerprint records which include fingerprint images (ten fingerprints plus slaps (four fingers simultaneously)) and alphanumeric data. The primary contractor was responsible for data conversion, development and validation of all project control documents, and software customization. DPS was responsible for delivering legible cards for conversion. The contractor's conversion operators inspected a random selection of about five percent of the records to compare with the actual card as a quality control. The contractor conducted three separate inspections: segmentation, conversion and NIST. Quality assurance and validation were ensured by the standard record conversion of 1,000 ppi (pixels per inch), use of non-duplicating machines- and human-readable barcodes, double entry of alphanumeric data, controlled and monitored imaging and physical inspection of a minimum of five percent of digitized records. The project included physical, logical and policy-based security of the fingerprint cards and associated data by requiring and conducting background checks of conversion center personnel; having cards shipped in locked containers; having physical access controls at conversion facility, including rules and regulation; using an isolated network with passwords and access rights administered by a system administrator; and storing completed records on secure servers that would then be installed at DPS. The deliverable criteria for equipment installation was fully functional livescans, AFIS, WebCard application and trained staff. Full system acceptance had to meet performance criteria which included system response time and processing throughput on a per shift basis. The ability to process all fingerprints within an eight hour shift without creating a backlog and processing an unidentified percentage of tenprint volume "lights out", and adequate operation response time including the remote sites were all identified as critical success factors. DPS agreed to close the contract if it had an effective system in operation and a clear indication of a stable operating environment as certified by operational personnel.

Training. The contract with SMI required that all users be trained on the actual equipment that would be used to ensure that each operator was proficient in the operation of AFIS. DPS assumed the responsibility to train users statewide after the initial training session provided by the contractor. At least 73 users have been trained on Livescan, CardScan, and the AFIS administrative tools. DPS has trained 28 of its employees and 28 other employees in seven state agencies and 12 public schools in the use of CardScan machines and 17 detention center or police department employees in the use of Livescan machines in 16 locations. **Appendix D** lists the number of employees by entity that have been trained.

DPS received several guides or manuals to assist with the actual operation of the system or to help users after training was provided. The table below shows the name of the guide and its purpose.

Table 4. Department and User AFIS Guides

Training Guide	Purpose
MetaMorpho Operator's Guide	Provides operators with the fundamental processing steps used in acquisition, quality control and verification of fingerprint, palm print, and latent lift impressions
MetaMorpho AFIS Training Guide	Provides workstation operators with the information and the procedures to operate AFIS
Morpho Archive and Retrieval System (MARS) Training Guide	Describes the archival and retrieval system that provides electronic storage for fingerprint, palmprint and mugshot transactions.
Batchscan/Cardscan Training Guide	Instructs users on techniques that will enable better viewing and analysis of images and data displayed on the fingerprint card. Image enhancement tools are available to the operator, allowing for zoom, magnify and contrast/brightness menus.
The MorphoView System Administration Guide	Technical guide for the DPS information technology staff
Morpho Audit Package (MAP) Operator's Guide.	Enables the production of standard reports and ad hoc reports.
FDR-CCH Programming Manual	Describes how programmers should approach making fixes and enhancements to the computerized criminal history interface

Source: DPS

Law Enforcement and Civil Applicant Site Visits. A screenshot of Livescan fingerprints taken and of the required demographic information entered by detention center personnel are at **Appendix E**. The Livescan machines are linked to the DPS and FBI systems, which allows for an immediate search for existing records. According to DPS, the FBI turnaround time to report on criminal backgrounds is two hours, but on average takes about five minutes if the fingerprint does not go into quality control check. During the course of this review, site visits to the Santa Fe, San Miguel and Bernalillo counties detention centers, and the Espanola detention center to observe the use of the Livescans and to interview staff produced mixed results.

Staff at the Santa Fe Detention Center describe the Livescan machines as user-friendly and efficient, and helping to expedite the booking process significantly. The new system allows the booking officer to process between 15 and 50 arrested individuals per day. Each booking takes between 5 and 10 minutes depending on the number of charges and includes front, right and left posed mugshots, finger and palm printing of both hands, and entering demographic and criminal charge data.

At the San Miguel Detention Center the experience was very different mainly because of high staff turnover caused by low salaries compared to surrounding detention centers. The booking process now takes between 30 to 45 minutes per arrested individual. The staff at the San Miguel

Detention Center are hopeful that stabilizing its workforce, incorporating AFIS training into its training academy and possibly training non-officer staff to be an internal resource for booking officers on how to use the Livescan machine will improve the process.

Results at the Bernalillo County Detention Center and the Albuquerque Police Department were mostly positive. It does appear that the Bernalillo County Detention Center may be experiencing connectivity issues that require it to mail data to DPS. It may also have training issues with regard to the amount of data that can be captured.

The Española detention center is pleased with the system's capability. However, it does not have sufficient bandwidth to transmit all the data captured to DPS so it must resort to mailing the information. Like San Miguel County, Española also has high staff turnover.

Staff at the public education and the children, youth and families departments were also interviewed on fingerprinting civil applicants using the CardScan machines. Both agencies said that the machines were easy to use and that the turnaround time to receive reports back on the applicants was quick. According to DPS, the FBI turnaround time for civil applicants is 48 hours, but on average it takes about six to eight hours.

Department of Information Technology Oversight. The DoIT project oversight and compliance bureau staff reviewed DPS's self-reported AFIS project information. Based on that information and the following criteria, DoIT determined the status of AFIS - YELLOW.

Table 5. DoIT Monthly Self-Reporting Rating Criteria

Criteria	Green	Yellow	Red
Timeline since **measure** was identified	< 30 days	> 30 day < 60 days	> 60 days
Issues escalated to or intervention required by	Project Team	Executive Sponsor	DoIT Project Oversight
DoIT Intervention		Watch List	At Risk

Measure: ✔Overall; ✔Schedule; ✔Budget; ✔Issues

Source: DoIT

The oversight and compliance staff is also responsible for onsite monitoring of projects, especially those projects in a YELLOW or RED status, and for validating all data reported, except financial data. AFIS remained in a YELLOW status for several quarters.

The DoIT quality control staff received the IV&V reports directly from the contractor or from someone assigned by DPS to ensure project quality. Project status is then determined by assessing the contents of the IV&V report using the rating criteria in the table below.

Table 6. DoIT IV&V Reporting Rating Criteria

Criteria	Green	Yellow	Red
IV&V is present, based on identified project risks and issues	Handled by project team	Likely to impact project; resolution identified/pending	No mitigation or alternative resolution: Project is impacted
IV&V not present: based on existence of IV&V	Not Required; Waiver Approved	Contract or Waiver pending	Contract not pending or expired without an extension

Source: DoIT

Based on the signed contract, AFIS was initially scheduled to be fully accepted by December 2006. The contract was subsequently amended in March 2007 and the acceptance dated was moved to April 2007. DoIT became involved in more direct oversight five months after the project failed to meet its revised acceptance date. The contractor was not being responsive and the IV&V contractor had reported concerns about testing. In October 2007, DPS amended the contract to extend the date of full system delivery to October 31, 2007 and for the services of the customer services engineer that it had started to receive in June 2007. By October 2007, AFIS had made it onto DoIT's "watch list". A project that continues to be in a YELLOW status or has taken a long time to resolve issues even though the issues may not be significant will cause a project to get on DoIT's "watch list".

All payments were put on hold until the contractor could deliver a full system that met the acceptance criteria. Not until March 2008 did DPS pay $419.2 thousand for one accepted deliverable. DPS has not released the performance bond, but did agree to do so in its negotiations.

DoIT staff was involved in the weekly meetings with the contractor where the status of issues was discussed. In July 2008, DPS with DoIT's approval successfully negotiated the nine outstanding items with the primary contractor. The nine items will be addresses as part of maintenance under amendment 3, which is yet to be signed. Under the agreement, DPS will also receive two additional Livescan machines valued at approximately $73.2 thousand. The system was officially accepted on July 16, 2008.

The amount reported to DoIT as available and expended for the AFIS project in the April 2008 project portfolio did not include all revenues and expenditures. The funds received and expended from Homeland Security were not included in the report.

Backlog and Applicant Criminal History Check Fee. During the 2004 Legislative Session (House Bill 66 and Senate Bill 106), DPS proposed a fee increase from $7 to $26 to process criminal history checks. A fee increase would have helped defray the cost of criminal background checks. DPS estimated that the increase would generate approximately $1.6 million, which it would use for salaries and benefits to staff a 24 hour seven day operation to comply with federal National Crime Information Center (NCIC), critical equipment replacement and the state

tracking number (STN) auditing project and would replace state general fund. The fee increase would have covered all but $39.5 thousand of the first year's operating expenses. The backlog was abated during the conversion process. During the 2006 Legislative Session, DPS again tried to get the fee increased this time to $53 (House Bill 510 and Senate Bill 562). Because, there did not appear to be sufficient support to increase the fee, DPS dropped its proposal. Other states charge anywhere from $20 to $35 to process applicant criminal history checks.

Additional Funding Request. In its FY09 IT Plan DPS requested $1.7 million for mobile fingerprinting capabilities called rapid identification that would allow 300 uniformed officers in the law enforcement program to remotely take and submit fingerprints through WiFi (wireless networking technology) or cellular signals. The request was not recommended because the main system was not stable and accepted.

APPENDIX A

List of Agencies Required by Statute to Fingerprint

Agency	Statute	Requirement
Board of Nursing	61-3-13 And 61-3-18	Registered nurse and licensed practical nurse applicants
Board of Pharmacy	61-11-6.1	Licensure of pharmacists, and interns and registration of pharmacy technicians
Children, Youth and Families Department	9-2A-8.1 and 32A-15-3	Employees and prospective employees in jobs with direct contact with clients Childcare operators, staff and employees Foster or adoptive parents and adults living in the household Juvenile justice detention, correction or treatment employees
Department of Health	29-17-5	Caregivers or hospital caregivers employed or under contract or someone applying as a caregiver or hospital caregiver
Department of Public Safety	29-3-1	Installation and maintenance of criminal identification systems including fingerprint
Department of Public Safety	29-19-5	Applications for concealed handgun licenses
Department of Public Safety	29-3-8	Persons arrested for felony, misdemeanor and driving while intoxicated offenses
Department of Public Safety	29-6-4.2	New Mexico Mounted Patrol applicants
Department of Public Safety	61-27B-34	Licensed or registered private investigators
Gaming Control Board	60-2E-14	Applicants for manufacturer, distributor or gaming operator licenses
Gaming Control Board and State Racing Commission	60-1A-7	Horse race track operators license (new or ongoing)
Municipalities	3-18-11.1	Applicants for municipal fireman
New Mexico Lottery Authority	6-24-12	Board members and prospective employees
New Mexico Medical Board	61-6-11	License to practice medicine in New Mexico
New Mexico Medical Board	61-6B-5	License to practice polysomnography (sleep study)
Public Education Department	22-10A-5	Initial educational licensure and contractor and employees with unsupervised access to students
Public Regulation Commission	59A-11-2	Insurance license applicants
Regulation and Licensing Department	60-3A-9 And 60-6B-2	Applicants for liquor sales and operations
Regulation and Licensing Department	61-28B-8.1	Certified Public Accountant applicants.
Supreme Court	34-2-9	License to practice law
Taxation and Revenue Department	9-11-10.1	Applicants or employees working with drivers licenses
Tribal Gaming Agency	11-13-1	Applicants for operator, employee, management contractor, gaming device supplier or gaming service provider

Source: LFC Research

APPENDIX B

Table 1. Location and Number of CardScan Machines
Non-Criminal Entities

Schools	Number of Units	Status
Public Education Department	1	Live
Albuquerque Public Schools	2	Live
Las Vegas Public Schools	1	Live
Los Alamos Public Schools	1	Live
Moriarty Public Schools	1	Live
Rio Rancho Public Schools	1	Live
Alamogordo Public Schools	1	Live
Santa Fe Public Schools	1	Live
Belen Public Schools	1	Live
Pecos Independent Schools	1	Live
Lovington Municipal Schools	1	Live
Ruidoso Public Schools	1	Live
Clovis Municipal Schools	1	Live
Espanola Public Schools	1	Live
Hobbs Municipal Schools	1	No connection
Total PED and Public Schools	**16**	

Source: DPS

Table 2. Location and Number of CardScan Machines
State Agencies

State Agencies	Number of Units	Status
Children Youth & Families Department: • Employment Checks for Direct Client Access • Childcare Licensing and Certification • Family Nutrition • Fostercare and Adoption	5	Live
Department of Corrections	1	Live
Department of Health	2	Live
Department of Public Safety (Records)	7	Live
Gaming Control Board	1	Live
NM Racing Commission	1	Live
Department of Public Safety (Concealed Carry)	1	Live
Medical Board	1	Live
Public Accountancy Board	1	Live?
Regulation & Licensing	1	On Hold
Total State Agencies	**21**	

Source: DPS

Table 3. Detention Centers with Livescan Machines

Bernalillo County	McKinley County
Carlsbad Police Department	Otero County (1)
Catron County	Probation and Parole - Albuquerque
Central New Mexico Correctional Facility	Quay County(1)
Chaves County	Rio Arriba County
Colfax County	San Juan County
Deming Border Operations Task Force	San Miguel County
Dona Ana County	Santa Fe County
Espanola Police Department	Sierra County(1)
Grant County	Socorro County(1)
Lea County	Taos County
Lincoln County(1)	Department of Public Safety Records
Los Alamos County	Unallocated
Luna County	

Source: DPS

Note: Highlighted locations received machines through Homeland Security
(1) Entity is establishing connectivity

APPENDIX C

Status Outstanding Requirements

	Deliverable Number	Deliverable Description	Removed from Traceability Matrix Requirement	Moved to Maintenance	Passed Acceptance Testing
1	3.2.1.2.h	Tenprint Fingerprint Identification Database must provide the capability to maintain update logs for updates to the database (e.g., a rolled print substitution), including at least the operator ID, date/time, record ID, and details of the change.			√
2	3.2.1.4.f.2	The unsolved latent database shall enable recording information associated with all latent prints that are encoded, searched and registered	√	√	
3	3.2.3.3.h	Log all sealing and purging transactions and automatically record each transaction: date, time, record number and administrator user ID	√	√	
4	3.2.3.3.i	Query to obtain a report of purged records	√	√	
5	3.3.1.3.d	Provide interactive capability that enables a system administrator to define a new information exchange transaction for the transmission of information to an external system	√		
6	3.3.2.5.c.1	In the event that any error disrupts the automated "lights out" input, search and post-processing analysis operation of the system such that manual intervention is required to restart the process, the system shall provide the following automated capabilities: Automatically detect and recognize a disruption of automated transaction processing within 30 minutes of its occurrence.			√
7	3.3.2.5.c.1	The automatic telephone paging capability that can be incorporated on either the UNIX or Windows platforms for all issues including when the system is "hung-up"			√
8	3.5.1.3.a.1	All system workstations must provide the capability to maintain a date/time-referenced log of all workstation operations	√	√	
9	3.5.1.5.b.3	The workstation documentation provided with each NM-AFIS workstation shall provide a comprehensive description of: All system error messages, along with reference to the component or process from which the message originated, a description of the meaning of the message, and a list of recommended operator responses.			√
10	3.6.2.2.e.1	Logging, analysis and reporting for the automated and manual quality check process	√	√	
11	3.6.4.4.b	Rolled Print Substitution. The system shall log all automated rolled print substitutions in the composite record.			√
12	3.8.1.1.a.2	Provide standard pre-defined reports for reporting database activity for a user selected time period, including: Record adds, changes and purges a selected record type, originating agency, or a selected SID.	√		
13	3.8.1.1.b.3	The system shall provide standard pre-defined reports for reporting database activity for a user selected time period, including: Database audits and integrity checks.			√
14	3.8.1.1.b.1	Standard pre-defined reports for reporting database activity for a user selected time period (database audits and integrity checks)	√		
15	3.8.1.1.b.2	Standard pre-defined reports for reporting database activity for a user selected time period	√	√	

Source: DPS

APPENDIX D

Civil and Law Enforcement Entities with CardScan or Livescan Machines

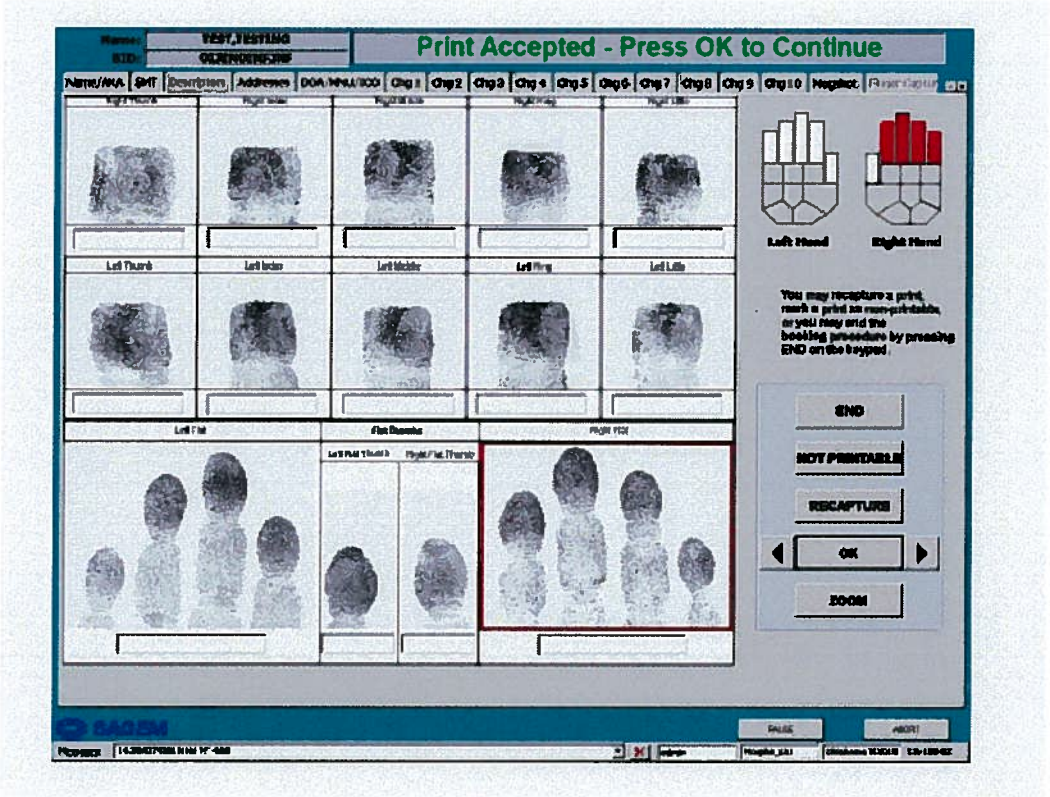
Agency /Institution	No. Trained	Device(s) Trained on
Department of Public Safety	28	Administration and Support, CardScan and Livescan
Children Youth and Families Department	5	Cardscan
Department of Health	2	Cardscan
Gaming Control Board	1	Cardscan
NM Racing Commission	1	Cardscan
Regulation and Licensing Department	1	Cardscan
Public Education Department	2	Cardscan
Corrections Department	2	Cardscan Livescan
Alamogordo Public Schools	1	Cardscan
Belen Public Schools	1	Cardscan
Clovis Public Schools	1	Cardscan
Espanola Public Schools	2	Cardscan
Hobbs Schools	1	Cardscan
Los Alamos Public Schools	1	Cardscan
Las Vegas Public Schools	1	Cardscan
Ruidoso Schools	1	Cardscan
Santa Fe Public Schools	2	Cardscan
Albuquerque Public Schools	1	Cardscan
Moriarty Public Schools	1	Cardscan
Rio Rancho Schools	1	Cardscan
Total	**56**	

Law Enforcement	No. Trained	Device(s) Trained on
Catron County	1	Livescan
Chaves County	1	Livescan
Dona Ana County	1	Livescan
Lea County	1	Livescan
Los Alamos County	1	Livescan
Quay County	1	Livescan
Rio Arriba County	1	Livescan
San Juan County	1	Livescan
Sierra County	1	Livescan
Socorro County	1	Livescan
Los Lunas County	1	Livescan
McKinley County	1	Livescan
San Miguel County	2	Livescan
Carlsbad Police Department	1	Livescan
Deming Border Task Force	1	Livescan
Farmington Police Department	1	Livescan
Total	**17**	

Source: DPS

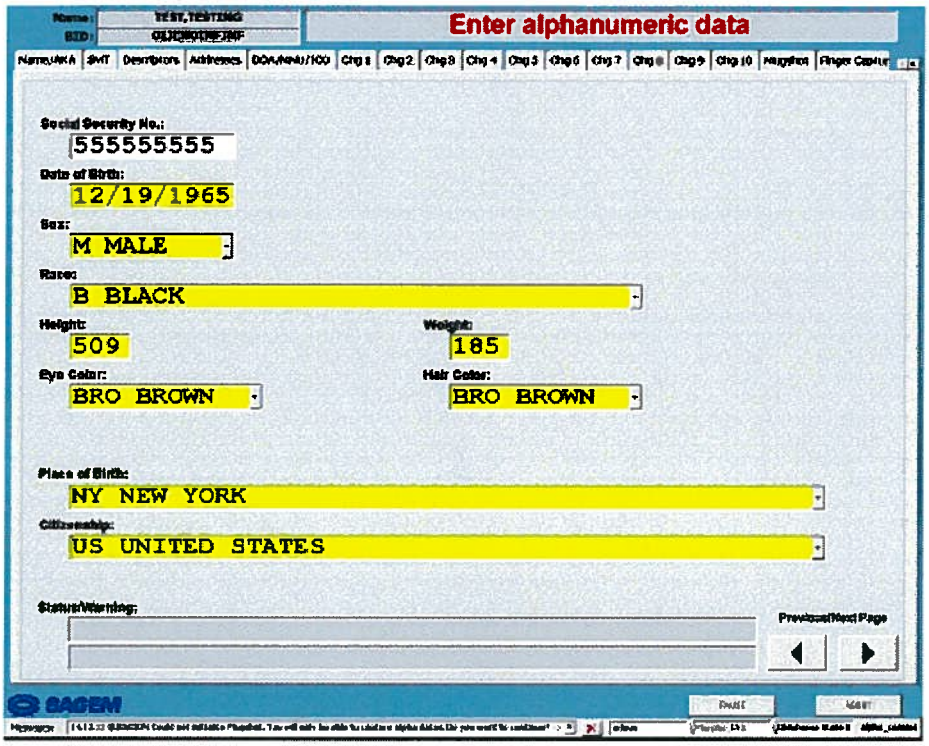
APPENDIX E

Figure 1. Screenshot of Prints Accepted by the System



Source: DPS Training Documents

Figure 2. Screenshot of an AFIS Data Entry Screen



Source: DPS Training Documents