

Federal Investigations Notice

Letter No . 00-04

Date: March 13, 2000

Electronic Submissions to OPM's Fingerprint Transaction System

As noted in Federal Investigations Notice 00-03, OPM implemented the first phase of the Fingerprint Transaction System (FTS) on November 29, 1999. On that date we began to submit all of our fingerprint searches electronically to the Criminal Justice Information Services Division (CJIS) of the FBI. This was accomplished by OPM scanning all HardCard fingerprints at the Federal Investigations Processing Center (FIPC) in Boyers, PA and converting them into electronic images. The fingerprint images and the subject's demographic data are then sent electronically via a wide area network (WAN) to CJIS. The search results, and an arrest record (if one exists), are sent back through the WAN to the OPM FTS.

The second phase of our FTS is to allow our customer agencies to send electronic fingerprint submissions to OPM. The FTS is designed to accept electronic submissions from any FBI-approved LiveScan unit configured for electronic transmission to OPM. The attachment to this FIN outlines the requirements necessary to electronically submit to the FTS. The attachment may be shared with any FBI-approved vendor that you select to electronically submit to the FTS.

We are eager to work with our customers to enable electronic submissions to the FTS. If you have any questions about our FTS and how to electronically submit fingerprints, please contact the Program Services Office on 724-794-5612.

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Associate Director for Investigations

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Attachment to [FIN 00-04](#)

Instructions for Sending Electronic Submissions to the Office of Personnel Management Store and Forward Fingerprint Transaction System

General Guidelines:

Connect to the OPM Store and Forward using a dial-up modem connection and Point to Point Protocol (PPP). Once connected, mail Base64 mime-encoded submissions that are compressed using approved "WSQ" fingerprint compression software to the Store and Forward using Simple Mail Transfer Protocol (SMTP).

1. Circuit

The OPM Investigations Service will provide switched dial-up access to the Fingerprint Transaction System for receiving electronic submissions for processing.

2. Modem Parameters

A Standard modem, 56K, 33.6K, or 28.8K modem will be required to connect to the Fingerprint Transaction System (any manufacturer should work for connecting). Contact your Live-Scan vendor for modems that will work with your system.

3. Protocol / Dial-up configuration

- Point to Point Protocol (PPP) dial-up connection.
- TCP/IP protocol.
- SMTP (Simple Mail Transport Protocol) mail transport.
- Domain Name Server should be configured to 192.168.100.2

4. Authentication

Your PPP client should be capable of supporting login using Challenge-Handshake Authentication Protocol (CHAP). Authentication will be performed by the OPM dial-up system. The username, password and phone number will be established by OPM only after all testing has been performed and Lockheed Martin Energy Systems have sent submission certification to OPM. For more information on CHAP Authentication, refer to **RFC 1994**.

5. Testing:

Testing will be performed prior to sending any electronic submissions via dial-up into the Fingerprint Transaction System. Testing will be coordinated and facilitated at the Lockheed Martin facility in Oak Ridge.

Requirements and certification process will consist of:

1. Successful dial-in and connectivity test
2. Name resolution testing for opm-int.gov
3. Electronic mail test
 - a. Plain text message sent to account on test network.

- b. Mime encoding test using same account on network.
 - c. Mime encoded EFTS submission using provided data.
 - d. Data integrity check for OPM required fields.
6. STMP Interface and Mailing Submissions

The implementation of SMTP will follow Internet standards and proposed standards as listed below:

- . RFC 821 - SMTP,
- a. RFC 822 - Standard for the format of Advance Research Projects Agency (ARPA) Internet text messages,
- b. RFC 1652 - SMTP Service Extension for 8-bit-MIME transport,
- c. RFC 1869 - SMTP Service Extensions, and
- d. RFC 1870 - SMTP Service Extension for Message Size Declaration.

The SMTP implementation shall include the extensions to SMTP (as specified in RFC's 1652, 1869 and 1870) in a compatible manner.

Send electronic submissions to the OPM Store and Forward via SMTP as follows:

- o SMTP Header.
 - 1. From: <soi_son>@<organization.xxx>
 - 2. To: opm-sub@mailgate.opm-int.gov
 - o Mime Header.
 - 0. Mime-version: 1.0
 - 1. Content-Type: application/octet_stream; name=eftssub
 - 2. Content-Transfer-Encoding: Base64
 - o Submission must be named "efts.sub" (lowercase)
 - o Submission must be base64 mime-encoded
 - o Submission must be sent in the body of the message (not as an attachment)
 - o Only one submission per mail message
 - o The "To:" mail address will opm-sub@mailgate.opm-int.gov
 - o The "Subject" must be "efts.sub"
 - o No other comments should be put in the body of the mail message (other than the submission)
7. Data Required by OPM in specific Electronic Fingerprint Transmission Specification (EFTS) Fields

7.1 OPM Required Data For All EFTS Submissions:

2.006 (ATN - ATTENTION INDICATOR):

Use the first 25-characters to enter your accounting number (Note: a number character is allowed in this field)

2.073 (CRI - CONTROLLING AGENCY IDENTIFIER)

- In the first occurrence of this field, put your 4-character SON.
- In the 2nd occurrence of this field, put your 4-character SOI.
- In the 3rd occurrence of this field, put your 8-character OPAC/ALC number.

7.2 OPM Conditionally Required Fields:

1.10 (TCR - TRANSMISSION CONTROL REFERENCE)

If you are sending a "no charge" resubmission due to fingerprint image errors, then, in the TCR field, put the TCR number from your PIPS response. Otherwise, leave the TCR field blank.

2.009 (OCA - ORIGINATING AGENCY CASE NUMBER)

If you are sending a no-charge resubmission or a fee resubmission on an active case, enter the OPM assigned Case Number for the case. Otherwise, leave the OCA field blank.

8. Other EFTS fields:

All other supplied EFTS fields should contain data which meet the requirements in EFTS version 6.2 and version 7.0. OPM Investigations Service will provide additional guidelines for which EFTS values to use in the following fields.

- 1.04 TOT Type of Transaction
- 2.005 RET Retention code
- 2.037 RFP Reason Fingerprinted
- 2.043 TSR Type of Search Requested