

SWFT ACCESS, REGISTRATION, AND TESTING PROCEDURES

VERSION 4.4

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

August 2023

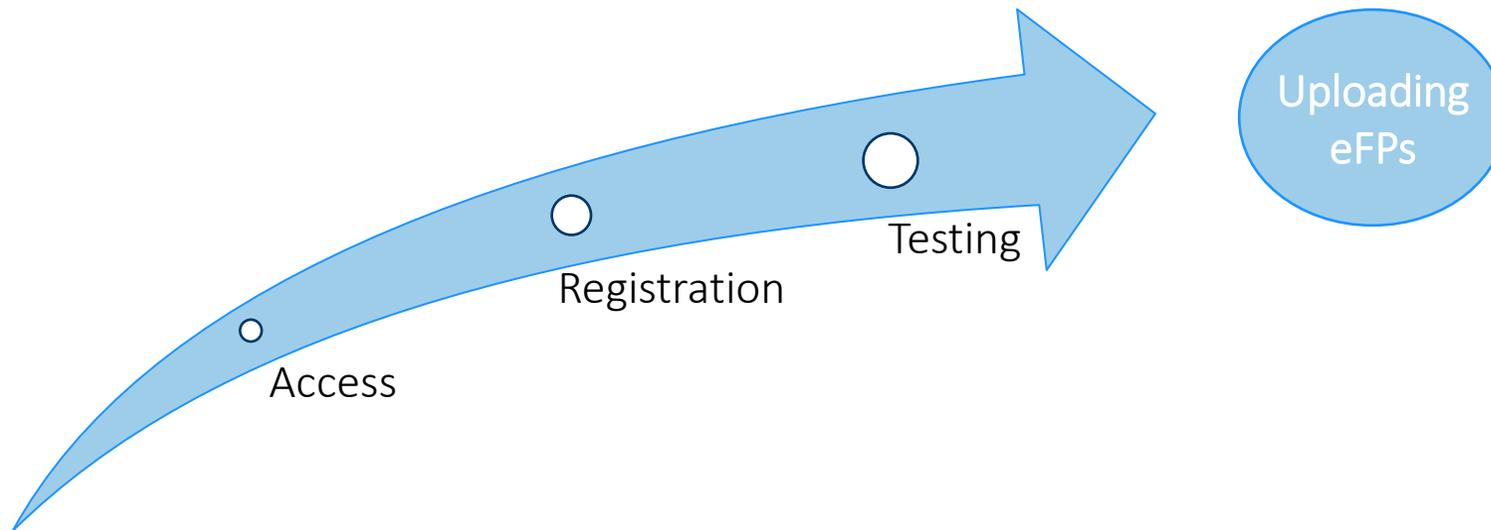
Please refer to the SWFT Access, Registration, and Testing Procedures document for more detailed information.



Getting Started



An Authorized Organization Representative must complete three phases before a cleared National Industrial Security Program (NISP) organization, U.S. Military component, Department of Defense (DoD) organization, or U.S. Federal Agency can submit electronic fingerprints (eFPs) to the DCSA Secure Web Fingerprint Transmissions (SWFT) Web Application.



Pre-requisites



The following pre-requisites must be met before accessing SWFT and sending eFPs to SWFT:

- Organization Requirement:
 - NISP Cleared Organization
 - U.S. Military Component
 - DoD Agency
 - U.S. Federal Agency
- Access Requirement:
 - Public Key Infrastructure (PKI) certificate stored on a medium security hardware token
 - CAC, ECA, PIV or PIV-I
- Investigation Requirement:
 - Standard User - Public Trust; Minimum Tier 1/NACI, National Security; Minimum Tier 1 (Interim Secret)/NACI
 - **Branch**/Organization/Site Administrator – Public Trust; Minimum Tier 2/MBI, National Security; Minimum Tier3 (Secret)/NACLCL/ANACI
 - See slide 5 for required investigation levels and slide 7 for SWFT user role details.
- Training Requirement:
 - Identifying and Safeguarding Personally Identifiable Information (PII)
 - Cyber Awareness Challenge
 - Must be completed within the last 12-months
 - Offered on STEPP website at <https://cdse.usalearning.gov/my/>



Pre-requisites - Continued



- Hardware/Software Requirement:
 - Option 1: Obtain or possess FBI-Approved Scanner Hardware and Software which produces Type 4 fingerprints and satisfies EBTS Version 10.x (livescan or cardscan). See slide 10 for details.
 - The list of FBI certified products and software is available on the FBI website at <https://fbibiospecs.fbi.gov/certifications-1/cpl>
 - Option 2: Use a 3rd Party Service Provider is authorized to enroll (i.e., take) fingerprints and produce electronic fingerprint files, or submit e-fingerprints to SWFT, or both.
 - 3rd Party Service Providers must have their own hardware/software equipment, that has been registered, tested, and approved for SWFT production under their organization.
 - 3rd Party Service Providers must be vetted to offer fingerprint services to DCSA clients.
 - The e-Fingerprint Service Providers list, published on the SWFT DCSA website at [https://dcsa.mil/Portals91/Documents/IS/SWFT/Documentation/3rd Party Fingerprint Pro FINAL.pdf](https://dcsa.mil/Portals91/Documents/IS/SWFT/Documentation/3rd_Party_Fingerprint_Pro_FINAL.pdf) lists DCSA vetted 3rd party service providers. See slide 21
 - Some service providers have offices in multiple geographical areas.
- *If CAS is used to scan prints, it will not be compatible with SWFT.





ACCESS

Access to SWFT can be granted to the following user groups:

- NISP cleared organizations
- U.S. Military components and DoD agencies
- U.S. Federal Agencies

All users are required to have a DoD approved SmartCard:

- Common Access Card (CAC)
- External Certificate Authority (ECA)
- Personal Identity Verification (PIV)
- Personal Identity Verification-Interoperable (PIV-I) credential

All users are required to hold a current Investigation

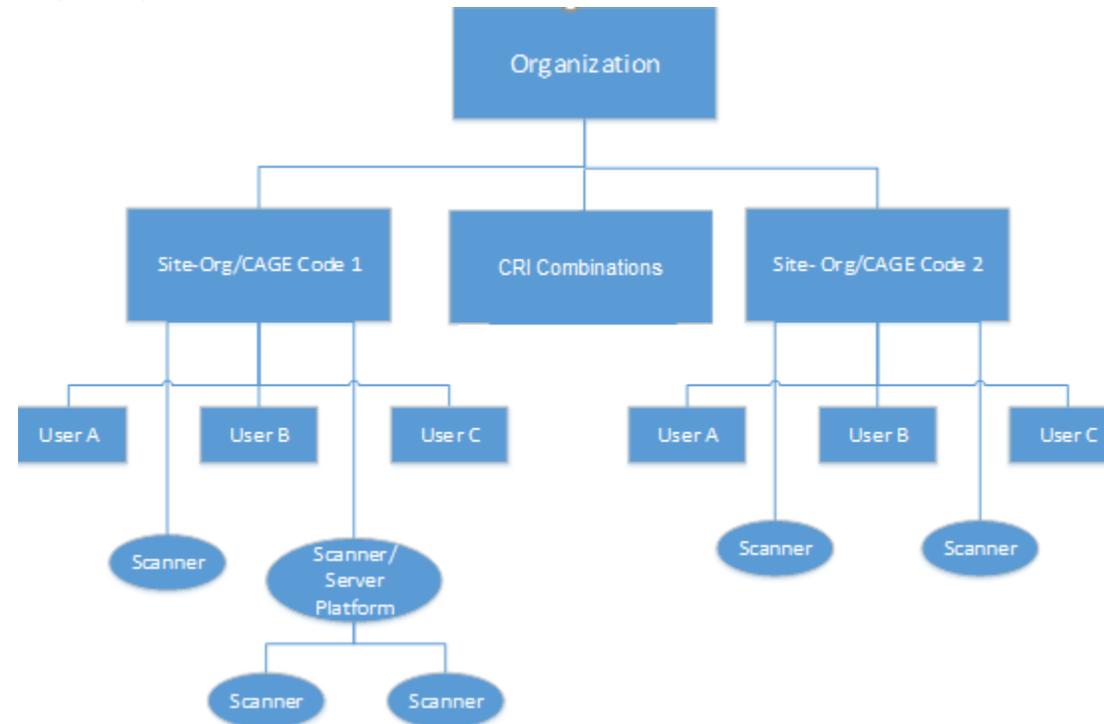
Minimum Investigation Required		
SWFT User Role	Public Trust Position (Non-DoD)	National Security Position (DoD)
Organization Administrator	Tier 2/MBI	Tier 3 (Secret)/NACL/ANACI
Site Administrator	Tier 2/MBI	Tier 3 (Secret)/NACL/ANACI
Standard User	Tier 1/NACI	Tier 1 (Interim Secret)/NACI

*Slide 21 contains Tiered Investigation Standards



SWFT Data Organization Chart

SWFT data necessary for tracking users and processing eFPs uses a hierarchical organization structure. Organization records are the top of the hierarchy and all other records link to or build upon the organization record. The following hierarchical model shows the data relationships. This is useful to understand when adding a new organization in SWFT or adding associated sites, users, or scanners to an existing organization.





SWFT User Roles and Permissions

SWFT functions allow access based on the user assigned role. Permission assignments occur at user account creation. The User Role is required to complete the PSSAR.

SWFT FUNCTION / USER ROLE	SWFT STANDARD USER	SITE ADMINISTRATOR	ORGANIZATION ADMINISTRATOR
Upload <u>eFP</u>	✓	✓	✓
Run <u>eFP</u> Status Reports	✓	✓	✓
Edit Organization			✓
Create/ Deactivate Site			✓
Edit Site		✓	✓
Add Users		✓	✓
Edit Users		✓	✓
Deactivate Users		✓	✓
Set Passwords		✓	✓
Generate Reports (limited to report permissions)	✓	✓	✓
Set User Permissions		✓	✓
Scanner Registration		✓	✓



Registration

The following are the pre-requisites to registering and testing scanners;

- Create an organization and site in SWFT
 - Organization and Site names: should be short and identifiable
 - Site Location: where the scanners are physically located
- Assign an Organization/Site Administrator (PoC) – see slide 20 for references to Admin guides
- Scanner purchased - FBI-Approved Scanner Hardware and Software which produces Type 4 fingerprints and satisfies EBTS Version 10.x (livescan or cardscan)
- Know the CRI combinations (SON/SOI/ALC)
- Know the Transaction Control Number (TCN)- a unique pattern should be determined

Getting Started



Registration

All fingerprint capture hardware and software must meet Federal Bureau of Investigation (FBI) certification guidelines at <https://fbibiospecs.fbi.gov/certifications-1/cpl>. Each fingerprint enrollment workstation must be registered and tested with SWFT and must be approved by the Registration Authority.

An online Scanner Registration form is available in the SWFT Web Application, which provides an automated tool for registering a new fingerprint enrollment workstation or editing an existing registration. SWFT shares the registration data with the registration authority.

Secure Web Fingerprint Transmission (SWFT)

DCSA
Last successful login date prior to current login: 8/18/2022 8:44:27 PM GMT
Last failed login date: Never - Consecutive failed logins prior to current login: 0

Welcome to SWFT
Message from the SWFT Administrator

NBIS-SWFT Version 8.7.2 Installed 7/28/2022
SWFT+ (WebEnroll) (BioSP™) Version 11.8.4 Installed 1/18/2021

Messages are color coded: Red - High Priority | Blue - Medium Priority | Black - General Announcement

Did you know?
If your email address is not current in SWFT, it can affect your ability to access [DCSA SERVICENOW](#). Please verify your email address is correct in the USER SETTINGS section of SWFT. If it is not, please update right away.

All WebEnroll Users:



Testing

Every fingerprint capture system (livescan or cardscan) must be registered, tested, and approved for production by the registration authority before enrolling official biometric data.

The SWFT Coordinator monitors and administers the registration process for all fingerprint capture devices and coordinates scheduling and test activities for approval of devices. SWFT Coordinators also assist with resolution of potential issues with the test eFPs.

Re-registration and Re-testing

All fingerprint scanner equipment and software must be re-registered and re-tested under the following circumstances (contact the SWFT Coordinator when unsure):

Any component of the fingerprint enrollment workstation is replaced (laptop, scanning device, or both)

Hardware part repair or replacement

Software replacement, upgrade, modification, or configuration change

Transfer of the equipment to another location



SWFT Server/Platform Services

Scanner/Server Platform fingerprint systems typically involve two components: 1) One or more fingerprint scanning devices; 2) Server Platform that integrates fingerprint images and biographic data and generates the eFP file.

Multiple scanning devices can be connected to a single server. At least one scanner-server platform pair must be registered and tested with SWFT and the registration authority. The registration must prove that the hardware and software components in the server platform meet the FBI certification guidelines. The test of the scanner-server platform pair must prove that the system is properly configured and generates eFP files that comply with the FBI Electronic Biometric Transmission Specification (EBTS) and DCSA Fingerprint Transaction System (FTS) or other registration authority specifications.

Additional scanning devices that communicate with a server platform that have already been approved for production by SWFT and the registration authority must also be registered, but do not have to be tested. Scanning devices that connect to an approved server platform-must include in the comments section of the SWFT registration form a reference to the previously registered and approved server platform.

Submission of eFPs on Behalf of Other Organizations



Submission of eFPs

Option One: Multi-Site Uploader - Service Provider with Limited Privileges Submits Fingerprints on Behalf of Another Organization

Any SWFT account holder can act as a service provider for other Organizations if the “Multi-Site Uploader” permission is enabled for that account. This allows the service provider to submit eFPs for another Organization and generate reports that identify eFPs they uploaded on behalf of other organizations. Serviced Organizations must obtain their own SWFT Organization account before seeking services from a Service Provider.

Organizations are strongly encouraged to enter into a service agreement that will address handling and protection of the Personally Identifiable Information (PII) data. The “Multi-Site Uploader” permission requires submission of a valid PSSAR to the DCSA FTS.

Note: Users with Multi-Site Uploader permission can upload eFPs for any Organization/Commercial and Government Entity (CAGE) Code that has been registered in SWFT. Once permission is granted, the Multi-Site Uploader does not need to seek SWFT pre-approval for uploading eFPs associated with any registered Org/CAGE Code. Organizations are encouraged to use their own SWFT accounts to monitor fingerprint transactions that have occurred on their behalf.



Submission of eFPs

Option Two: Multi-Site SWFT Account - Service Provider Acts with Full Privileges to Submit Fingerprints on Behalf of Another Organization

A service provider must have their own SWFT account established under the organization for which it provides services. This account must be associated with one or more of the serviced organization's Org/CAGE Codes.

A SWFT account under the serviced organization grants the service provider the ability to submit eFPs on their behalf. The service provider can access SWFT reports and PII data for eFPs they submitted on behalf of their serviced organizations.

Each request for adding an additional Org/CAGE Code to an existing SWFT account requires a PSSAR approved by the appropriate nominating official from the serviced organization.

Note: It is not necessary to own and operate a fingerprint capture device to obtain a SWFT account or to submit eFPs. Organizations can submit eFP files that were generated by a Service Provider with a SWFT approved and registered workstation.

Submission of eFPs on Behalf of Other Organizations



Submission of eFPs

Option Three: A 3rd Party Service Provider is authorized to enroll (i.e., take) fingerprints and produce electronic fingerprint files, or submit e-fingerprints to SWFT, or both

3rd Party Service Providers must have their own hardware/software equipment, that has been registered, tested, and approved for SWFT production under their organization.

3rd Party Service Providers must be vetted to offer fingerprint services to DoD and Federal Agency clients. Organizations intending to offer their fingerprint services to the DoD and Federal community should contact the SWFT Coordinator for qualification criteria and to initiate the vetting process.

The *Fingerprint Service Providers* list, published on the SWFT DCSA website at <https://www.dcsa.mil/is/swft/>, lists DCSA vetted 3rd party service providers. Some service providers have offices in multiple geographical areas.



Access

Security officers and specialists who intend to use the services of a 3rd Party Service Provider for capturing the fingerprints and generating eFP files need to follow only Steps 1 through 3 in the Access portion of the ART Procedures. The Registration and Testing procedures are applicable only to applicants who intend to operate fingerprint enrollment workstations.

Your Organization must verify that the Organization/3rd Party Service Provider that will generate the eFPs for you had their equipment registered and approved for production by SWFT and the registration authority. Access to the verification tool requires a SWFT account.

To confirm the registration status of a fingerprint capture workstation, perform the following steps:

- Obtain either the scanning device Make and Serial Number, or the Org/CAGE Code from the Service Provider.
- Log in to SWFT.
- Access the Reports section and run the report “Scanner Registration Status by Hardware Vendor and Serial Number” or “Scanner Registration Status by Org/CAGE Code” as appropriate.



Access

Step 1: Procure livescan or cardscan equipment, if not done already.

The list of FBI certified products and software is available on the FBI website at <https://fbibiospecs.fbi.gov/certifications-1/cpl>.

Note #1: Organizations that plan to procure and operate their own equipment should obtain the required hardware and software prior to applying for access to SWFT.

Note #2: Any scanning equipment that is intended for producing eFPs must meet the FBI certification guidelines and must be registered with SWFT. SWFT collects and sends all required registration information to the registration authority.

Note #3: The registration and testing of the scanning equipment can be requested and conducted only by an authorized SWFT User. Any other entity that intends to provide electronic fingerprinting services must seek sponsorship from at least one authorized SWFT organization in order to be able to register their scanning equipment. The sponsorship must remain active for as long as such services are provided or offered.



Access

Step 2: The SWFT user obtains the appropriate PSSAR from the SWFT DCSA website at the following link:
<https://www.dcsa.mil/is/swft/>.

Please follow the steps in the PSSAR instructions document given to the user by DCSA. PSSARs with errors will be returned to the applicant for correction.

Note: The Annual Cyber Awareness and Personally Identifiable Information training must be completed by the individual requesting the account. The training links are located on the STEPP website at <https://cdse.usalearning.gov/my/>. On the PSSAR, Part 3, numbers 18 and 19 must be checked and the completion date of the training must be filled in.



Access

Step 3: The PSSARs for the Organization Administrators are submitted to the DCSA FTS System Liaisons by encrypted e-mail to dcsaftsteam@mail.mil or to the DCSA FTS System Liaisons through DoD SAFE at <https://safe.apps.mil>. Let the DCSA FTS know the PSSAR is being sent to them through DoD SAFE.

Site Administrators should submit their PSSARs to their Organization Administrator. Standard users should submit their PSSARs to their Organization or Site Administrator.

You may also need to include a screenshot of your smart card certificate along with your PSSAR. Check with the person who is creating your SWFT account if the certificate information is needed.

Note #1: Direct all questions regarding the PSSAR processing status to the DCSA FTS System Liaisons via phone at 1-724-794-5612 ext. 4900 and select option 2 or via e-mail to dcsaftsteam@mail.mil.

Note #2: Once the SWFT account has been created, the DCSA FTS System Liaisons will e-mail the Organization Administrator their username and will request that they call the DCSA FTS System Liaisons to obtain a temporary password.

The Organization/Site Administrator will provide the username and temporary password to the requesting user.

Step 4: Log in to the SWFT application and use your username and temporary password to register your Public Key Infrastructure (PKI) token. Temporary passwords are only valid for 72 hours.



Registration

Step 5: Log in to SWFT and register the fingerprint scanning equipment.

Please note that only the Organization Administrator or Site Administrator has the necessary permissions to register the fingerprint scanning hardware and software. For information on how to register the scanner and software, click the “Help” button in the SWFT application to access the *SWFT Scanner Configuration and Registration Guide*.

Note #1: Upon completing the entry of the scanner registration information, the Organization Administrator or Site Administrator submits the scanner registration to the SWFT Coordinator by clicking the “Submit” button. The SWFT Coordinator reviews the scanner registration. Registration data that does not pass the validation check is rejected. The Organization Administrator or Site Administrator must then correct and re-submit the registration data. Completed fingerprint scanner registrations are submitted by the SWFT Coordinator to the registration authority for approval.

Note #2: When registering the scanner, ensure that the Transaction Control Number (TCN) Prefix complies with the convention that is outlined in the *SWFT Scanner Configuration and Registration Guide*. Each fingerprint scanner and fingerprint card scanner must have its own unique TCN Prefix. The *SWFT Scanner Configuration and Registration Guide* can be accessed by clicking the “Help” button in SWFT.



Registration

Step 6: After successful registration of the scanner hardware and software data, the SWFT Coordinator notifies the Organization Administrator or Site Administrator via e-mail that the scanner is ready for testing. The scanner must be properly configured to produce eFP files that comply with EBTS standards and requirements defined by the investigative service providers. Refer to the *SWFT Scanner Configuration and Registration Guide* which can be accessed by clicking the “Help” button in SWFT.

Note: It is not necessary to re-register or re-test the scanner workstation separately for each new Org/CAGE Code that the workstation supports. The same applies to a scanner workstation that is being sponsored by an authorized SWFT account holder.



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All WebEnroll Users:



Testing

WebEnroll Users: Skip steps 7 through 9 and follow the instructions in the [Scanner Test Guide](#) found under the SWFT Resources, then eFP Enrollment (SWFT+) section on the SWFT DCSA Website for testing new scanners.

Step 7: The Organization Administrator or Site Administrator uploads the test eFP to SWFT and notifies the SWFT Coordinator by email at dcsa.ncr.nbis.mbx.swft@mail.mil after the eFP is successfully uploaded.

The SWFT upload process rejects the test eFP if the device serial number on the eFP does not match the device serial number registered in the SWFT application in Scanner Registration.

Refer to the *SWFT Scanner Configuration and Registration Guide* for detailed instructions pertaining to the enrollment and upload of a test eFP. Please note the following before uploading a test eFP to SWFT:

Note #1: The maximum acceptable eFP file size is 1MB for both test and production submissions. If the eFP file size is greater than 1MB, consult the vendor on how to set the scanner resolution and/or file compression to bring the size of the eFP file within 700–1,000KB range.

Note #2: Fingerprint card scanning equipment often exports only the fingerprint images from the paper card. As a result, you may have to re-enter all the biographical data manually. Please contact the appropriate software vendor for information on how your card scanner should be configured to generate eFPs meeting the DCSA FTS and other registration authority standards.



Testing

Step 8: The SWFT Coordinator reviews the uploaded eFP and reports any issues. If errors are identified in the eFP, the SWFT Coordinator works with the Organization Administrator or Site Administrator on resolution. This process will require re-submission of a corrected eFP to SWFT. Verified test eFP files are forwarded to the registration authority for validation.

Note #1: An automated e-mail notification is sent to the Organization Administrator or Site Administrator when the test eFP file has been submitted to the registration authority. The SWFT Coordinator receives notification of the test result via e-mail from DCSA FTS within one to two business days after submission of the test eFP to DCSA FTS.

Note #2: Currently, only DCSA FTS sends a confirmation e-mail to the SWFT Coordinator after a test eFP has been received. This may change in the future for other registration authorities.



Testing

Step 9: For each test eFP submitted to the registration authority, the SWFT Coordinator communicates one of the following possible test results by e-mail to the Organization Administrator or Site Administrator:

Result #1: The test eFP was successfully processed and the scanner/software is authorized to submit eFPs to production.

Result #2: The test eFP was rejected by the Registration Authority.

The SWFT Coordinator will help with resolving the issues with the test eFP. Errors found during the registration authority validation of the test eFP require resubmission of a corrected test eFP to SWFT. Steps 7–9 are repeated until the scanner has been approved for production use by the Registration Authority.



For additional information on account management and registering scanners, the below user guides are available in SWFT by clicking on the Help button. Users must have a SWFT account to access the guides.

- SWFT Scanner Configuration and Registration Guide
- SWFT Administrator Guide
- SWFT User Guide

Resources



❑ STEPP Training - <https://cdse.usalearning.gov/my/>

❑ FBI certified products and software - <https://fbibiospecs.fbi.gov/certifications-1/cpl>

❑ e-Fingerprint Service Providers - [SWFT Resources \(dcsa.mil\)](https://www.dcsa.mil/swft/)



3rd Party Provider
List

❑ PSSAR - <https://www.dcsa.mil/is/swft/>



PSSAR

❑ Federal Investigative Standards Tiered Investigations -
https://www.dcsa.mil/Portals/91/Documents/pv/fso/Tier_Investigations.pdf



Tiered
Investigations

Questions



For any questions or concerns, please contact the DCSA FTS

System Liaisons at

dcsaftsteam@mail.mil

Or contact the SWFT Coordinator via email at

dcsa.ncr.nbis.mbx.swft@mail.mil

or ServiceNow at

<https://dcsa.servicenowservices.com>